



Child and Adult
Care Food
Program
(CACFP)

Management Improvement Guidance

Family Day Care Home Sponsors



CACFP

*Building for
the Future*

Acknowledgments

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Note: This document is considered a working document and we would appreciate any comments and suggestions to improve its effectiveness.

Pennsylvania Department of Education

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PREFACE

The **Child and Adult Care Food Program (CACFP)** Task Force (Task Force) convened in March 1995 to assist the Department in:

- improving program integrity;

Overview

Three pieces of Guidance are contained in the Child and Adult Care Food Program Management Improvement Guidance - Sponsor Standards, Provider Standards, and prototype review forms for sponsors and day care homes. Each is interrelated to ensure sound program management at both the sponsor and provider levels. In the complete cycle of program management, each of these tools provides indicators of program performance at the sponsor and/or provider levels, and are intended to enable the user to target resources and technical assistance for strengthening program management. Though these components are interrelated, each has a designated purpose in program operations.

This initiative was a collaborative State and Federal endeavor. The Task Force consists of 14 State agency and Food and Nutrition Service representatives.

Overview

The Task Force provided assistance to the Department in the areas of program approval, training and operations, and oversight of the Program.

Sponsor Standards

The sponsor has an oversight responsibility to ensure that providers are complying with the program requirements. Additionally, the sponsor has administrative responsibilities. The sponsor standards, therefore, include:

- Organizational Management
- Financial Management
- Oversight of Home Provider Operations

The **Sponsor Standards** is a resource to improve accountability for, and the quality of meals served in family day care homes and prevent serious problems in program operations at both the sponsor and family day care home levels. The Guidance provides tools for State agencies and sponsors to use in conjunction with the regulations to improve performance of existing sponsors and to ensure that only well qualified potential sponsors are initially approved. The Guidance is directed at the sponsor level, and addresses both program operations and administration. The Guidance may be used by State agencies to measure a potential sponsor's qualifications for participation in the program as well as to evaluate ongoing operations. Sponsors and potential sponsors may also use the guide for self-evaluation.

Provider Standards

The **Provider Standards** was developed in recognition that successful day care home operations are dependent on the effective performance of home providers. Program responsibilities for home providers fall under three broad standards:

- Administration and Operations
- Meal Service and Nutrition
- Health, Safety and Well-Being

The **Provider Standards** identifies the basic skills and qualifications to be mastered by program operators to achieve competencies necessary to operate successful programs and meet program performance requirements. This Guidance identifies key standards that home providers are expected to meet. It is formatted as an assessment checklist to be utilized by the sponsor to determine if the provider is proficient in the areas identified. The Guidance may also be utilized by both the sponsor and provider to determine training needs.

Prototype Review Forms

The prototype review forms for sponsors and day care homes provide a framework for evaluating the program operations at both the sponsor and provider levels. The sponsor review form is designed for

State agency use, however, the day care home review form may be used by both State agencies and sponsoring organizations. The forms may also be provided to sponsors and providers in order that they will be knowledgeable of the program evaluation criteria.

CACFP Management Improvement Guidance

PART I. Sponsor Standards

Introduction

Goal: To improve the accountability and quality of meals served in family child care homes.

Outcomes Desired:

- Improve the quality of meal service and the accountability of funds to support program.
- Increase the number of tools available to State agencies and sponsors to improve performance.
- Improve the ability of State agencies and sponsors to monitor and oversee delivery of CACFP in family child care homes.
- Prevent serious problems in program operation by sponsors and family day care homes.

Purpose and Use

This Guidance was developed as a resource to improve accountability for, and the quality of meals served in, family child care homes and prevent serious problems in program operations at both the sponsor and family child care home levels. The Guidance provides tools for State agencies and sponsors to use in conjunction with the regulations to improve performance of existing sponsors and to ensure that only well qualified potential sponsors are initially approved. When developing the tools, an instrument was created that would provide State agencies with administrative flexibility as differences in State agency operations and policy implementation require State agencies to tailor their own instruments. To use this document effectively, State agencies must define terms, make judgment calls and apply the standards to a degree commensurate with the sponsor size. The purpose of the Guidance is to set out, in broad terms, goals, desired outcomes and standards.

Overview

The Guidance, defined by 4 columns, is actually several instruments in one. It establishes:

- standards;
- approval/continuing participation criteria;
- performance measures; and
- a performance improvement plan.

Standards

First, it establishes a set of standards, broken into three key

(Column 1)

programmatic areas, to clearly spell out for ongoing sponsoring organizations and their State agencies expected performance. The standards are listed in the first column of the Guidance under Sponsor Standards. Note from the definitions, that these standards are "expected performance"; they are Stated in terms of how a sponsor would operate the program. The three key programmatic areas are: organizational management, financial management, and oversight of home provider operations. These three programmatic areas are followed throughout the Guidance. Whenever possible, measurements have been included to determine if the sponsor meets the standard, and performance improvement plans are provided to make corrections where problems are noted.

**Approval/
Continuing
Participation
Criteria
(Column 2)**

Second, the instrument may be used by potential sponsoring organizations and their State agencies to determine if these organizations have the skills and qualifications to become successful sponsors and if there is in fact a need for an additional sponsor in the applicable service area. When the terms "need" or "service area" are used, in no means are geographic area restrictions being promoted; rather, it is referring only to the potential sponsoring organization's proposed service area so that the State agency knows where they propose to do business, whether children in that service area are already receiving CACFP benefits, and whether the sponsor will be financially viable. Without this information, State agencies could not measure the need for additional sponsors or the effectiveness of their outreach efforts. These approval/continuing participation criteria could be used to deny potential sponsoring organizations. They are addressed in the second column and correspond to the three performance standard areas.

**Performance
Measures
(Column 3)**

Column three addresses measurement. Measurement is in fact the key to this document and may be misunderstood. Wherever possible, an outcome-based measurement has been included for each function of each performance standard. There are frequently several measurements for each standard or function but no pass/fail levels. The idea is that whoever is using this instrument, either the sponsor or the State agency, would select all or just a few measurements and, in effect, develop a custom instrument based on their needs. This does not have to become a labor/paper-intensive exercise.

Pass/fail levels for the measurements were not included because a different use for the instrument was envisioned. It is intended to be used on an ongoing basis (e.g., annually) to measure effectiveness of sponsor or State agency management, training, monitoring and technical assistance, not for a one-time snapshot of sponsor performance.

Many of the measures allow for comparison from one assessment period to the next (e.g., 85% of provider payments were disbursed within 5 working days in March compared to 92% disbursed within 5 working days in June). State agencies should establish appropriate levels based on their experience. Eventually, a few key measurements for each standard and pass/fail levels for each may be established. In order to establish realistic levels of expectation, it is best to first test the standards.

**Performance
Improvement
Plan
(Column 4)**

Finally, the Guidance may be used to help identify corrective action strategies for each performance standard where problems are noted. They are examples, not requirements, and they are listed in column four. Where applicable, strategies have been listed for the sponsoring organization, followed by those aimed at the State agency. In certain cases only one or the other is relevant. Generally, the strategies have been listed in an ascending order starting with the simplest and working up to, in some cases, the most drastic. As is true throughout the rest of the document, there is no implied order; sponsors and/or State agencies can select the method(s) that seem appropriate for their particular situation.

CACFP Management Improvement Guidance
Sponsor State

Definitions

Column 1	Column 2	Column 3	Column 4
Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement

Expected performance that can be measured on quantitative and qualitative levels. The standards are defined under three key programmatic areas:

1. Organizational Management
2. Financial Management
3. Oversight of Home Provider Operations

Sponsor documents and State agency verify that:

- Administrative staff have skills and qualifications needed to meet standards.
- Sponsor has ability or has plan to show that they can meet standards and expectations.
- There is a need for services in area they serve.

Practical means to evaluate performance of standard in a qualitative and/or quantitative manner in order to determine strengths and needs of sponsor's management and identify areas where corrective action should be targeted.

Means to improve performance in order to meet standards, correct seriously deficient performance or exceed performance standard (continuous quality improvement).

Standards - 3 Key Programmatic Areas

- 1. ORGANIZATIONAL MANAGEMENT. Sponsor effectively manages program to achieve desired standards and outcomes.**
 - 1.1 Governing Board.** Governing board provides adequate program oversight.
 - 1.2 Recruitment.** Sponsor recruitment practices provide eligible children access to program benefits.
 - 1.3 Tiering Classification.** Sponsor accurately classifies day care homes as Tier I/Tier II and properly maintains documentation in support of determinations made.
 - 1.4 Application.** Valid and complete sponsor and home applications are maintained.
 - 1.5 Training.** Sponsor trains staff and home providers to proficiently operate program.
 - 1.6 Monitoring.** Sponsor monitors home providers' compliance with program requirements.
 - 1.7 Staffing.** Sponsor has adequate staff to operate program.
 - 1.8 Policies and Procedures.** Sponsor has written policies and procedures for program operation.
 - 1.9 Civil Rights.** Sponsor complies with civil rights requirements.
 - 1.10 Recordkeeping.** Sponsor has recordkeeping practices to meet program requirements.

- 2. FINANCIAL MANAGEMENT. Sponsor expends and accounts for funds in accordance with regulatory requirements and sound financial management principles.**
 - 2.1 Sponsor Budget.** Sponsor plans necessary and reasonable budget.
 - 2.2 Fiscal Responsibility.** Sponsor's financial system and management controls assure fiscal responsibility.
 - 2.3 Claims Processing.** Sponsor processes claims accurately and in a timely manner.

- 3. OVERSIGHT OF HOME PROVIDER OPERATIONS. Sponsor assures that child care home providers accountably and appropriately operate a program to provide nutritious meals to children.**
 - 3.1 Meal Service and Nutrition.**
 - 3.1.1 Meal Service.** Home provider's meals meet meal pattern requirements.
 - 3.1.2 Nutrition.** Home provider's meal service is moving towards compliance with the *Dietary Guidelines for Americans* and *Food Pyramid* recommendations. (Recommended)
 - 3.2 Health, Safety and Well-Being.**
 - 3.2.1 Licensing/Approval.** Child care homes meet licensing or approval requirements.
 - 3.2.2 Sanitation.** Home providers practice appropriate sanitation measures.
 - 3.3 Administration and Operations.**
 - 3.3.1 Civil Rights.** Home providers comply with civil rights requirements.
 - 3.3.2 Recordkeeping.** Home providers complete and maintain program records.
 - 3.3.3 Claiming Meals.** Home providers claim only eligible meals.

Note: For the purpose of this instrument, the standards are broadly Stated; a sponsor must adhere to all regulatory requirements contained in 7 CFR Part 226.

Standard 1: Organizational Management: Sponsor effectively manages program to achieve desired standards and outcomes.

- 1.1 Governing Board.** Governing board provides adequate program oversight.
- 1.1 Recruitment.** Sponsor recruitment practices provide eligible children access to program benefits.
- 1.1 Tiering Classification.** Sponsor accurately classifies day care homes as Tier I/Tier II and properly maintains documentation in support of determinations made.
- 1.1 Application.** Valid and complete sponsor and home applications are maintained.
- 1.1 Training.** Sponsor trains staff and home providers to proficiently operate program.
- 1.1 Monitoring.** Sponsor monitors home providers' compliance with program requirements.
- 1.1 Staffing.** Sponsor has adequate staff to operate program.
- 1.1 Policies and Procedures.** Sponsor has written policies and procedures for program operation.
- 1.1 Civil Rights.** Sponsor complies with civil rights requirements.
- 1.10 Recordkeeping.** Sponsor has recordkeeping practices to meet program requirements.

Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.1 Governing Board [Federal tax-exempt not-for-profit organizations]</p> <p>Sponsor has a governing body that meets applicable Federal and State statutes and requirements, and is composed primarily of members of the community. It is responsible for policy setting, fiscal Guidance and ongoing governance. It regularly reviews the organization's policies, programs, budgets, and operations, and decisions are documented in board minutes which are maintained and available for review by the State agency, on request.</p>	<p>Sponsor can demonstrate that it:</p> <ul style="list-style-type: none"> • operates for public purposes rather than private benefit; and • has a screening system in place to scrutinize any criminal convictions of board members which may disqualify them from performing program administrative functions. 		<p>Sponsor Action</p> <p>Board members and/or sponsor staff attend(s) training or class on program regulations and/or nonprofit board membership (or read relevant materials).</p> <p>State Agency Action</p> <p>Provides resource list to sponsor on boards (e.g., Internal Revenue Service (IRS) Exempt Organizations Handbook, National Charities Information Bureau- Standards in Philanthropy, other bibliographical information on non-profit board membership and responsibilities).</p>

Standard 1. Organizational Management

Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
1.1 Governing Board (continued)	<p>Sponsor's board:</p> <ul style="list-style-type: none"> is composed of a majority of members of the community who are not financially interested in its activities, or related to its personnel or to each other; does not vote on decisions relating to their own compensation (or for a related party) and is otherwise independent and accountable; approves decisions about compensation of employees and other parties providing services; and meets the performance standard with respect to policy, fiscal management, program knowledge and operational oversight. 		<p>State Agency Action (continued)</p> <p>Referral to IRS, if necessary.</p> <p>On the basis of faulty or missing board oversight declares sponsor seriously deficient and terminates sponsor if corrective action is not taken after reasonable time frame.</p> <p>Denies application for sponsor who fails to demonstrate that they meet standards and fulfill requirements.</p>

Standard 1. Organizational Management

1.2 Recruitment. Sponsor recruitment practices provide eligible children access to program benefits.

Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.2 Recruitment</p> <p>Potential sponsor can document, to the State agency's satisfaction, the need for their services in the area they propose to serve.</p> <p>Existing sponsor can document to the State agency's satisfaction that there are eligible or potentially eligible homes in any new area they propose to serve.</p> <p>Sponsor follows recruitment and expansion practices and ethics policies which conform to all applicable State agency requirements, including providers adding and transferring.</p>	<p>Potential sponsor is able to assess and determine needs for CACFP in the area it proposes to serve and has staff with the skills and abilities to write an effective outreach plan.</p> <p>Existing sponsor is able to assess and determine needs for CACFP in the area it proposes to serve.</p> <p>Sponsor demonstrates knowledge of all State agency requirements and ethics policies regarding adding and transferring.</p>	<p>Proportion of eligible homes currently participating in CACFP in area in which sponsor proposes to serve.</p> <p>Number of substantiated complaints of unethical recruitment practices.</p>	<p>State Agency Action</p> <p>Provides training and technical assistance on State agency recruitment/transfer/ethics policies, needs assessment, civil rights, and effective outreach strategies to unserved homes.</p> <p>Places cap on number of homes when sponsor is inappropriately recruiting (as applicable).</p> <p>Denies approval of sponsor where children and providers in the targeted service area are already receiving program benefits, where there is already sufficient sponsor choices to ensure service, or where the sponsor will not be financially viable.</p>

Standard 1. Organizational Management

1.3 Tiering Classification. Sponsor accurately classifies day care homes as Tier I/Tier II and properly maintains documentation in support of determinations made.

Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.3 Tiering Classification</p> <p>Sponsor accurately classifies day care homes as Tier I or Tier II.</p> <ul style="list-style-type: none"> For Tier I homes, verification is conducted for those providers whose eligibility is based on income. For Tier I homes on the basis of area data, correct application of Guidance concerning use of elementary school and census data to document a home's eligibility is made. For Tier II homes, sponsor: <ul style="list-style-type: none"> (1) informs providers of options for establishing eligibility for children under the Tier I rate, and method for claiming such children; and (2) at the provider's request, determines eligibility of enrolled children for Tier I reimbursement rates and maintains documentation. <p>Determine eligibility of income eligible children in Tier II homes accurately.</p>	<p>Sponsor staff demonstrates the ability to determine Tier I/Tier II classifications.</p> <p>Sponsor has a system to track re-certification dates for Tier I homes.</p> <p>Sponsor can accurately determine income eligible children in Tier II homes.</p>	<p>Percentage of homes correctly categorized as Tier I/Tier II.</p> <p>Percentage of Tier I homes for which re-certification was completed on a timely basis.</p> <p>Percentage of children in Tier II homes correctly categorized as eligible for Tier I rates.</p>	<p>Sponsor Action</p> <p>Develops or revises written operational policies and procedures.</p> <p>Conducts staff training in areas where weaknesses are identified.</p> <p>Corrects all incorrect determinations of homes and children.</p> <p>State Agency Action</p> <p>Provides training, technical assistance and/or guidelines as needed.</p> <p>Notifies the sponsor of the areas of noncompliance. Provides opportunity for sponsor to correct problem. Continued noncompliance may require a determination of serious deficiency with termination if corrective action is not taken.</p>

[illegible]

Standard 1. Organizational Management

1.4 Application. Valid and complete sponsor and home applications are maintained.

Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.4 Application</p> <p>Sponsor submits accurate and valid application and agreement materials to the State agency in accordance with requirements and prescribed time frames unless materials are already on hand (maintained) at the State agency or at the sponsor as required by State agency procedures. To include:</p> <ul style="list-style-type: none"> • applications and signed agreements from each home under the sponsor's jurisdiction, • documentation of licensure/approval for each home, • management plan and budget, (management plan includes information on staffing, training, monitoring, payment system to be used to make Tier I day care home determinations, and system to be used to notify Tier II day care home providers of their reimbursement options) 	<p>Sponsor staff can evaluate site eligibility and complete accurate and valid application materials.</p> <p>Sponsor can prepare management plan that supports the proposed level of operations.</p> <p>Sponsor has adequate office facilities and equipment to support sponsor administrative staff.</p>	<p>Completeness and validity of all application materials and timeliness of submission.</p> <p>Number and proportion of home applications that are valid and complete.</p>	<p>State Agency Action</p> <p>Provides technical assistance to new or continuing sponsor to assist them in the preparation of application materials. Technical assistance may include:</p> <ul style="list-style-type: none"> • Guidance, • staff training, • consultation, and/or • resources. <p>Requires a continuing sponsor, with weaknesses in their application, to prepare a corrective action plan.</p> <p>Requires an applicant who was a former sponsor with problems to demonstrate that previously identified problems have been corrected.</p>

Standard 1. Organizational Management

Standards	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.4 Application (continued)</p> <ul style="list-style-type: none">• documentation of non-profit status and information regarding governing board if applicable,• enrollment information on all children,• support documentation for Tiering classification,• eligibility information on home providers' own children, if applicable, and children in Tier II day care homes claimed at Tier I rates,• nondiscrimination policy Statement,• media release, if not done by State agency, and• documentation of compliance with Civil Rights requirements. <p>Sponsor submits accurate and valid data to the State agency when adding new facilities to its sponsorship.</p>			

Standard 1. Organizational Management

1.5 Training. Sponsor trains staff and home providers to proficiently operate program.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.5 Training</p> <p>Sponsor conducts adequate training for providers prior to participation in the program and during the first year of program operation.</p> <p>At least annually, the sponsor conducts or provides and documents effective training on all aspects of program operations for staff, (e.g., financial management, operational procedures, personnel policies, monitoring, meals and nutritional requirements).</p> <p>At least annually, the sponsor conducts or sponsors a minimum of 13 hours of training/technical assistance for providers on all aspects of program operations, (e.g., menu planning, types and amounts of food to serve, meal counts, nutrient content of foods, and food safety and sanitation).</p>	<p>Sponsor provides sufficient orientation, training and ongoing review so staff and providers are fully trained in program operations and requirements.</p> <p>Sponsor participates in State agency training and meetings related to program operations.</p>	<p>Number and proportion of sponsor's providers in review month sample that participated in a minimum of 13 hours of CACFP related training in the prior year.</p> <p>See provider Standards, Practices.</p>	<p>Sponsor Action</p> <p>Offers effective, appropriate training, resources and technical assistance to home provider, as needed, including how to:</p> <ul style="list-style-type: none">• conduct training,• complete needs assessment,• follow adult education principles,• offer range of approaches for presenting program information and resources to home providers, (e.g., newsletters), and• provide children learning activities to reinforce key areas. <p>Improves logistics of training offerings to be more responsive to home providers' needs.</p> <p>State Agency Action</p> <p>Refer to Performance Improvement Plan, 1.3 Tiering Classification, State Agency Action.</p>

Standard 1. Organizational Management

1.6 Monitoring. Sponsor trains staff and home providers to proficiently operate program.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.6 Monitoring Sponsor provides sufficient and timely monitoring to ensure that home providers meet program requirements. Monitoring visits are conducted and follow-up reviews are documented.</p> <p>At least one monitoring visit per year is unannounced (consistent with State authority).</p> <p>At least two monitoring visits per year are conducted during meal times.</p> <p>Sponsor adjusts visit schedule based on needs or problems of home.</p> <p>Monitoring visits include a sample of meal types claimed by home provider including evening, weekend, and holiday meals, where appropriate.</p>	<p>Sponsor demonstrates that they have sufficient number of staff that are adequately trained to:</p> <ul style="list-style-type: none"> • Conduct the required number of complete visits, • Conduct announced and unannounced visits, • Review monthly documents to support meal claims, and • Identify problems and work with home providers to achieve corrective action. <p>Sponsor has procedures in place to address home providers that do not comply with program requirements including:</p> <ul style="list-style-type: none"> • identification, • notification, • monitoring corrective action, and • termination. 	<p>Proportion of sampled home providers for whom all required visits have been completed.</p> <p>In cases where parents are contacted, the proportion where parent response is different than home provider report.</p> <p>Number of home providers terminated for noncompliance.</p> <p>Comparison of average number of meal disallowances found by State agency versus number found by sponsor.</p>	<p>Sponsor Action Tracks and compiles findings to determine training needs of home providers, and offers needed training and resources for problem areas.</p> <p>Ensures that staff conduct complete and thorough reviews.</p> <p>Improves monitoring form and procedures or uses prototype forms if needed or as directed by the State agency.</p> <p>Provides additional monitoring and on-site training to problem home providers. Conducts more unannounced visits of problem providers.</p> <p>Immediately notifies proper authorities when imminent danger is suspected or present.</p>

Standard 1. Organizational Management

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.6 Monitoring (continued) Parents/households are contacted where problems indicate need to verify meal claims or the quality of meals.</p> <p>Appropriate disallowances are made in claims for meal reimbursement when findings require such action.</p> <p>Sponsor reports license or approval violations when observed.</p> <p>Sponsor reports to proper local and State authorities when they observe that health and/or safety of children is threatened in home. Sponsor takes action, as appropriate, in cooperation with State agency, to terminate provider's participation in program.</p>	<p>Sponsor has staff trained to recognize certain violations, (e.g., imminent danger, over license capacity) follow procedures to take action where appropriate, and report in a timely manner, as needed.</p>		<p>Sponsor Action (continued)</p> <p>Refers providers with a high number of violations observed or reported for assistance (e.g., referral to child care resource and referral agency, community or technical college, university child development course or conference, and/or child care regulatory unit).</p> <p>State Agency Action</p> <p>Encourages use of prototype monitoring form.</p> <p>If needed, caps number of homes that may be sponsored until problems are resolved.</p> <p>Refer also to Performance Improvement Plan, 1.3 Tiering Classification, State Agency Action.</p>

Standard 1. Organizational Management**1.7 Staffing.** Sponsor has adequate staff to operate program.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
1.7 Staffing Sponsor has sufficient qualified staff to timely perform all administrative functions that support program operations. Sponsor has job descriptions and qualifications outlined for each position. Sponsor clearly delineates job duties for each staff and does routine appraisal on all staff's performance. Sponsor has an established personnel system which is appropriate to the size of the organization.	 Sponsor has adequate number and type of staff for the size of and services delivered by organization. Sponsor has staff who can successfully complete all job requirements in program training, monitoring and recordkeeping requirements as demonstrated through experience, formal skills or training. Sponsor can certify that a screening system is in place to scrutinize any criminal convictions of applicants or of any program staff as well as prior mismanagement of not-for-profit or of government supported programs. Such a system must disqualify applicants or staff if the conviction might jeopardize the safety of the children in care or compromises their ability to perform administrative or operational functions.	 Number and type of staff compared to the number of homes sponsored and services provided. Number and type of findings on State agency review.	State Agency Action Refer to Performance Improvement Plan, 1.3 Tiering Classification, State Agency Action.

Standard 1. Organizational Management

1.8 Policies and Procedures. Sponsor has written policies and procedures for program operations.

1.9 Civil Rights. Sponsor complies with civil rights requirements.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
1.8 Policies and Procedures Written operational policies and procedures are in place for correctly performing required general administrative duties, including but not limited to, monitoring, tiering, recordkeeping, training, financial management, and procurement. .	Sponsor demonstrates that it has adequate procedures and policies in place to effectively perform administrative duties required by State agency.	Number of findings in State agency review of sponsor that are related to inadequate policies and procedures. (Reference specific items on review form that address specific records.)	State Agency Action Refer to Performance Improvement Plan, 1.3 Tiering Classification, State Agency Action.
1.9 Civil Rights Sponsor offers the program to all home providers equally regardless of race, color, sex, age, disability, or national origin.	Sponsor demonstrates understanding of civil rights requirements and application materials. Sponsor also documents compliance with requirements.		

Standard 1. Organizational Management

1.10 Recordkeeping. Sponsor has recordkeeping practices to meet program requirements.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>1.10 Recordkeeping</p> <p>Records are maintained for required time period to document all required items, including, but not limited to: monitoring, personnel actions (e.g., job descriptions, hiring, appraisals), board meetings, training conducted and all records in support of claims for reimbursement including: menus, meal counts, enrollment documentation of Tier I eligibility (to include school data, census data, income eligibility forms for home providers and verification results, and income eligibility forms for home provider's own children) and income eligibility forms and/or evidence of categorical eligibility (e.g., voucher) for children in Tier II homes claimed at the Tier I rate.</p>	<p>Sponsor has filing system that maintains required records in an accessible manner for required time periods.</p> <p>Sponsor has a system to ensure that eligibility information concerning individual households is confidentially maintained.</p>	<p>Number of audit or review findings due to missing records to support program operations or claims.</p> <p>Number of audit or review findings due to missing records to support Tier I eligibility for homes and children in Tier II homes.</p>	<p>State Agency Action</p> <p>Refer to Performance Improvement Plan, 1.3 Tiering Classification, State Agency Action.</p>

Standard 1. Organizational Management

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
1.10 Recordkeeping (continued) Eligibility information concerning individual households is not shared with home providers, and is restricted to those persons directly connected with the administration and enforcement of CACFP.			

<p>Standard 2: Financial Management: Sponsor expends and accounts for funds in accordance with regulatory requirements and sound financial management principles.</p> <p>2.1 Sponsor Budget. Sponsor plans necessary and reasonable budget.</p> <p>2.2 Fiscal Responsibility. Sponsor's financial system and management controls assure fiscal responsibility.</p> <p>2.3 Claims Processing. Sponsor processes claims accurately and in a timely manner.</p>
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Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>2.1 Sponsor Budget</p> <p>Administrative costs included in the budget to manage the Program are necessary and reasonable, and budget conforms to State agency financial management system based on: (7 CFR Parts 226 and 3015, 48 CFR 31, FNS Instruction 796-2, Rev. 2, and OMB Circulars A-87, A-102, A-110 and A-122).</p> <p>The sponsor uses a system to track actual expenditures against the approved budget.</p> <p>The sponsor has a budget amending process that considers year-to-date expenditures, anticipated expenses under its management plan and anticipated revenue sources.</p>	<p>Sponsor demonstrates that it has sufficient staff with the skills necessary to formulate and execute an administrative budget.</p> <p>Sponsor has procedures and systems in place to ensure adequate financial controls, (e.g., tracking expenditures, reconciling actual expenditures to budgeted amounts at appropriate intervals, analyzing program operations, and submitting budget revisions) as needed.</p>	<p>Sponsor submits a timely budget and budget revisions that meet the standard and supports program objectives.</p> <p>The budget is an accurate reflection of annual operations.</p>	<p>State Agency Action</p> <p>Based on identified weaknesses, provide technical assistance to sponsor in the preparation of budget estimates and expenditure tracking including:</p> <ul style="list-style-type: none"> • Guidance • staff training • consultation, and/or • resources <p>Compile statistics from annual budgets (based on sponsor size) and provide sponsor with information on administrative costs as well as management information such as average caseloads for field staff.</p>

Standard 2. Financial Management

2.2 Fiscal Responsibility. Sponsor's financial system and management controls assure fiscal responsibility.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>2.2 Fiscal Responsibility</p> <p>Sponsor submits a management plan which includes detailed information on the administrative budget and system which will be used to administer the Program and disburse payments to home providers under its jurisdiction.</p> <p>Sponsor maintains a financial management and recordkeeping system that ensures fiscal integrity and accountability for all funds and property received, held, and disbursed (e.g., costs, including shared costs, are adequately documented; necessary and reasonable for proper and efficient administration of the program; allowable under the State agency's financial management system; properly allocated, within the approved budget;</p>	<p>Sponsor demonstrates it has established administrative and financial management controls.</p> <p>Sponsor demonstrates that it has a sufficient and well-trained staff to operate a financial management system and a board that is accountable in its direction.</p> <p>Sponsor demonstrates that it has an acceptable financial management system and adheres to Federal and applicable State financial management standards.</p>	<p>Independent audit reports, audited financial Statements and/or program reviews do not identify insolvency or indicate other serious problems.</p> <p>Sponsor submits request for payments for expenditures that conform to the sponsor's approved budget.</p> <p>Proportion of costs disallowed through audits and reviews compared to claimed administrative costs.</p>	<p>Sponsor Action</p> <p>Develops or revises written operational policies and procedures.</p> <p>Conducts staff financial management training in areas where weaknesses were identified.</p> <p>State Agency Action</p> <p>Based on identified weaknesses, provides technical assistance to sponsor including Guidance, staff training, and consultation.</p> <p>Denies a sponsor request for advance funds, or all or part of the claim for reimbursement.</p> <p>Denies a sponsor application to participate in the program, and, if applicable, start-up funds.</p>

Standard 2. Financial Management

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>2.2 Fiscal Responsibility (continued)</p> <p>and property is protected and used solely for authorized purposes).</p> <p>The accounting system in place ensures administrative costs incurred by the sponsor are allowable and included in approved budget; advance payments, if applicable, which exceeded the amount earned for serving eligible meals are returned to the State agency; and costs are consistently treated either on an accrual or cash basis.</p> <p>Written operational policies and procedures to implement the financial management system exist and accurately reflect regulations, and Federal and State policies.</p>			<p>State Agency Action (continued)</p> <p>Refer to Performance Improvement Plan 1.3, Tiering Classification, State Agency Action.</p>

Standard 2. Financial Management

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>2.2 Fiscal Responsibility (continued)</p> <p>Sponsor uses administrative and expansion funds judiciously, and in accordance with any applicable State statutes when assisting rural/low income home providers to meet licensing requirements and become program participants.</p> <p>Procurement practices as specified in FNS Instruction 796-2, Rev. 2, 7 CFR Parts 226, 3015, 3017, and 3018, OMB Circulars A-102 and A-110, and State or local requirements, if applicable, are followed and contracts contain applicable certifications (e.g., debarment and suspension and disclosure of lobbying activities).</p>		<p>If problems are noted, evaluate proportion of contracts which have not adhered to proper procurement practices.</p>	

Standard 2. Financial Management

2.3 Claims Processing. Sponsor processes claims accurately and in a timely manner.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>2.3 Claims Processing</p> <p>Sponsor selects claiming method (actual counts, claiming percentages, blended rates) and determines reimbursement payments for all Tier II mixed homes. If applicable, sponsor established claiming percentages and/or blended per meal rates of reimbursement for each home every six months.</p> <p>Payments are made to approved providers based on the number of meals served by type (breakfast, lunch/supper, supplement) and category (Tier I and Tier II) to enrolled, eligible children at each child care home at the appropriate rate. Such a system should ensure that:</p>	<p>Sponsor staff follows its policy for recalculating claiming percentages or blended rates for Tier II homes.</p> <p>Sponsor demonstrates that it has adequate payment procedures and financial controls (e.g., sufficient claim edits, payments restricted to eligible meals) for processing home provider payments.</p> <p>Sponsor demonstrates that it has sufficient, trained staff that follow established procedures for processing home provider payments accurately.</p>	<p>Percentage of claiming percentage/blended rates sample that are correctly calculated.</p> <p>Percentage of home providers in review month sample who were reimbursed based on claims that met all standards.</p> <p>Home provider advances are disbursed appropriately by sponsor (e.g., amount was correct, home provider authorized to receive advance).</p> <p>Proportion of home providers receiving full amount due.</p> <p>Proportion of payments to homes disbursed within five working days of receipt from the State agency.</p>	<p>State Agency Action</p> <p>Provides technical assistance, staff training, consultation, and/or resources to sponsor on claims processing.</p> <p>If necessary, denies sponsor application for start-up payments, advance funds, or all or part of the claim for reimbursement.</p> <p>Refer to Performance Improvement Plan 1.3, Tiering Classification, State Agency Action.</p>

Standard 2. Financial Management

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>2.3 Claims Processing (continued)</p> <ul style="list-style-type: none"> reimbursement is only claimed for homes that have entered into a written agreement with the sponsor. home provider claims for ineligible meals are denied. <p>Sponsor is accurate and on time in processing complete claims and disburses payments to providers according to its management plan. Documentation concerning the dates and amounts of disbursements to each provider is maintained and reconciled on a regular basis.</p>		<p>If applicable, number of home provider checks returned for nonsufficient funds in 12-month time frame.</p> <p>If applicable, number of times in 12-month time frame that claims for reimbursement are submitted late to the State agency.</p> <p>Proportion of claims sponsor submits that are complete, accurate, and on time.</p>	

Standard 3: Oversight of Home Provider Operations. Sponsor assures that child care home providers accountably and appropriately operate a program to provide nutritious meals to children.

3.1 Meal Service and Nutrition.

3.1.1 Meal Service. Home provider's meals meet meal pattern requirements.

3.1.2 Nutrition. Home provider's meal service is moving towards compliance with the *Dietary Guidelines for Americans* and *Food Pyramid* recommendations. (Recommended)

3.2 Health, Safety and Well-Being.

3.2.1 Licensing/Approval. Child care homes meet licensing or approval requirements.

3.2.2 Sanitation. Home providers practice appropriate sanitation measures.

3.3 Administration and Operations.

3.3.1 Civil Rights. Home providers comply with civil rights requirements.

3.3.2 Recordkeeping. Home providers complete and maintain program records.

3.3.3 Claiming Meals. Home providers claim only eligible meals.

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>3.1.1 Meal Service</p> <p>Providers serve meals to all participants in accordance with the meal pattern requirements specified in 7 CFR 226.20.</p> <p>Meals served include creditable foods for all required components in appropriate quantities and textures for the ages of children being served.</p>	<p>Sponsor staff follow policies and procedures to evaluate providers' compliance with food service and nutrition standards. This would include knowledge and understanding of meal pattern requirements.</p>	<p>Percentage of providers with no menu disallowances based on the review month.</p> <p>Percentage of providers with no menu disallowances based on the observed meals.</p>	<p>Sponsor Action</p> <p>Trains its monitoring staff.</p> <p>Provides technical assistance to provider on-site.</p> <p>Conducts training session for provider(s) off-site.</p> <p>Increases on-site monitoring visits of meal service.</p> <p>Conducts unannounced visits.</p>

Standard 3. Oversight of Home Providers

3.1 Meal Service and Nutrition

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
3.1.1 Meal Service (continued) If applicable, meals are modified to meet individuals' required dietary modifications and special needs.			Sponsor Action (continued) Evaluates in-office review of procedures and makes necessary improvements. Terminates provider. State Agency Action Refer to Performance Improvement Plan, 1.3 Tiering Classification, State Agency Action.

Standard 3. Oversight of Home Providers

3.1 Meal Service and Nutrition

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>3.1.2 Nutrition (recommended, not required)</p> <p>Providers plan and serve meals with the goal of:</p> <ul style="list-style-type: none">• meeting appropriate food and nutrient standards and guides including the Dietary Guidelines for Americans and the Food Pyramid,• offering a variety of nutrients, textures, colors, and temperatures,• introducing new foods, and• providing good sources of Vitamin A three times per week and good sources of Vitamin C and iron daily.		<p>Percentage of homes reviewed that have 6 out of 7 items checked "yes" on number 2 of the Child Care Home Review Month Form.</p>	

Standard 3. Oversight of Home Provider Operations

3.2 Health, Safety and Well Being

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>3.2.1 Licensing/Approval</p> <p>Providers meet license or approval requirements while participating in CACFP.</p> <p>Providers recognize signs of abuse/neglect and report instances to appropriate authorities.</p>	<p>Sponsor has staff and system in place to verify license or approval requirements prior to approval.</p> <p>Sponsor has means to track expiring licenses and approvals and ensure that only licensed or approved homes participate.</p> <p>Sponsor has process to discontinue providers' participation if license/approval requirements are not met.</p>	<p>Percent of homes that have valid license or approval.</p> <p>Number and proportion of homes over capacity on meal claim form.</p>	<p>Sponsor Action</p> <p>Refers providers with a serious violation(s) observed or reported for assistance (e.g., referral to child care resource and referral agency, community or technical college, university child development course or conference, and/or child care regulatory unit).</p> <p>State Agency Action</p> <p>Reviews system for tracking, identifies weaknesses and provides consultation to improve system.</p> <p>If no data is collected, recommends sponsor include this as part of monitoring and train staff on license or approval violations including how to notify appropriate authorities.</p>

Standard 3. Oversight of Home Provider Operations

3.2 Health, Safety and Well-Being

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
3.2.1 Licensing/Approval (continued)			State Agency Action (continued) If data is collected, but few violations are reported, reviews process for capturing information, determines whether staff have adequate training, and advises accordingly.

Standard 3. Oversight of Home Provider Operations

3.2 Health, Safety and Well-Being

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
3.2.2 Sanitation Providers practice appropriate sanitation measures while preparing and serving meals.	Sponsor staff can monitor and provide training to providers on safe food handling.	Percentage of homes reviewed that have at least 6 of items 16-22 from the Child Care Home Review Form checked "yes".	Sponsor Action Where problems are noted, provides additional training or technical assistance for provider. State Agency Action Requires sponsor staff to attend training and/or conduct training or provide technical assistance to providers. Reviews monitoring procedures and assures that sponsor has sufficient checks of sanitation standard. Requires sponsor to revise monitoring forms and procedures if necessary. Requires sponsor to work with homes on corrective action for problem areas.

Standard 3. Oversight of Home Provider Operations

3.3 Administration and Operations

Standard	Approval/Continuing Participation Criteria	Performance Measures	Performance Improvement Plan
<p>3.3.1 Civil Rights</p> <p>Provider offers the program and serves meals to all enrolled children equally regardless of race, color, sex, age, disability or national origin.</p> <p>Provider includes the nondiscrimination Statement and complaint procedure in provider advertisements when referencing admissions and/or the program.</p>	<p>Sponsor staff are knowledgeable of and can provide training to providers on the civil rights requirements.</p>	<p>Percentage of homes with no civil rights violations.</p>	<p>Sponsor Action</p> <p>Provides additional training, consultation, and resources to providers to ensure that they understand the respective requirement.</p> <p>Denies participation for those homes that fail to comply.</p> <p>Reports civil rights violations (discriminatory practices) to proper authorities.</p>
<p>3.3.2 Recordkeeping</p> <p>Providers maintain records to document all required items, including, but not limited to: menus, enrollment, attendance, meal counts by type (breakfast, lunch/supper, supplement), meal substitutions, and other records required by the State agency or sponsor.</p>	<p>Sponsor staff can provide sufficient training and forms to providers, are able to adequately review homes' records, and can provide sufficient technical assistance as needed.</p>	<p>Refer to Meal Service, 3.1.1, Nutrition, 3.1.2, and Claiming Meals, 3.3.3.</p>	<p>Sponsor Action</p> <p>Provides additional training, consultation and resources to providers to ensure that they understand the respective requirement.</p> <p>Disallows meal claims that are not substantiated by required records.</p>

Standard 3. Oversight of Home Provider Operations

3.3 Administration and Operations

Standard	Approval/Continuing Participation Criteria	Performance Measures	Impact
<p>3.3.3 Claiming Meals</p> <p>Providers claim only eligible meals.</p> <p>See specifics below.</p> <ul style="list-style-type: none"> Meal counts are taken during the meal service or immediately after. Monthly claims are based on an accurate daily meal count (by child's name, if applicable) for each meal service. Reimbursement does not exceed two meals and one snack or one meal and two snacks per child per day. Each child claimed is enrolled in and attending child care. 	<p>Sponsor has effective process to review and verify claim and allows only those meals that are served to eligible children to be claimed.</p> <p>Sponsor has adequate staff that are sufficiently trained to compile accurate claims.</p> <p>Sponsor provides or has plan to provide adequate training for homes on requirements and provides technical assistance when problems are noted.</p>	<p>Percentage of providers in review month sample who were reimbursed based on claims that met all standards.</p> <p>Note: If percentage is unacceptably low, sponsor or State agency can identify problem area by use of the measures that follow:</p> <ul style="list-style-type: none"> Percentage of homes in the review month that had significantly more meals claimed for each of the 5 serving days preceding an observed meal count. Percentage of homes that have meal counts for meals claimed that do not exceed 2 meals and 1 snack or 1 meal and 2 snacks per child per day. 	<p>Sponsor A</p> <p>Provides a consultation to providers to understand requirements.</p> <p>Requires a submitted v to processi</p> <p>Contacts p verify their attendance</p> <p>Denies rein that do not</p> <p>Does not a and/or wee when inapp these meals</p>

Standard 3. Oversight of Home Provider Operations

3.3 Administration and Operations

Standard	Approval/Continuing Participation Criteria	Performance Measures	Impact
3.3.3 Claiming Meals (continued) <ul style="list-style-type: none"> A menu that meets meal pattern requirements is submitted for each meal claimed. Provider's own children are claimed only if the child is enrolled with documented eligibility, and other enrolled children are in care and claimed for the same meal(s). Reimbursement is not claimed for meals served to children in excess of the home's authorized capacity. Only approved meal types are claimed. <p>Only children 12 or under, migrant children through age 15 or individuals that have documented disabilities, as defined by the State, are claimed.</p>		<ul style="list-style-type: none"> Percentage of homes that claimed only children where there were enrollment forms and where children were in attendance. Percentage of homes that have menus available for meals claimed. Percentage of homes claiming provider's own children which were eligible for meals claimed. Percentage of providers who only claim meals for children within authorized capacity. Percentage of providers that claimed meal types that were approved to be claimed. <p>Percentage of providers that claimed children that meet the age requirement.</p>	Sponsor A (continued) Improves c track serio Terminates seriously d

CACFP Management Improvement Guidance (Guidance)

PART II. Provider Standards

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Introduction

This Guidance addresses the Standards of providers. The purpose of these **Standards** is to evaluate whether they are administering a safe and quality child care feeding program. The criteria for the **Standards** have been formatted into **Goals** which define the program objectives that providers should strive to meet. Proficiency in meeting the **Goals** of the **Standards** is measured by application of a series of specific **Practices**. Thus, taken together, the **Standards**, **Goals**, and **Practices** can be used by sponsoring organizations as a training tool and by family day care home providers as a self-evaluation of how well they are complying with these program objectives.

Standards

The **Standards** that providers and their sponsors should be striving for are identified in three areas: Administration and Operations, Meal Service and Nutrition, and Health, Safety and Well-Being. While some of the **Standards** fall outside the boundaries of what is typically defined as meal or food service, the Department believes that the development of and compliance with **Standards** in these additional areas is essential in the establishment and maintenance of a safe and quality child care feeding program.

Goals

Under each **Standard**, **Goals** have been identified that further define and explain the knowledge and behavior expected of providers. The Department believes that, when a provider meets these **Goals**, the provider is operating a quality program. In addition, a provider's achievement of these **Goals** can be one indicator that the sponsor is administering the CACFP in accordance with State and Federal requirements.

Practices

Practices are used to evaluate the quality level of the child care provider's meal service. The **Practices** include CACFP regulatory requirements as well as recommendations. The **Practices** listed that are regulatory requirements must be adhered to by providers on an ongoing basis regardless of whether this Guidance is utilized. The other **Practices** listed are recommendations that providers should strive to meet. Although these recommendations are not CACFP regulatory requirements, many are requirements enforced by State and/or local regulatory agencies and, therefore, must be adhered to by providers.

Several of the **Practices** in this Guidance are listed under more than one Standard. These **Practices** are repeated under multiple **Standards** because they have more than one meaning, depending on the **Standard** they address. In addition, this Guidance is designed to be used in a variety of ways. For example, it can be used as an entire “package” for obtaining a Standards of Merit certificate, or each **Standard** can be used as a “stand alone” piece for training purposes. In the latter instance, repetition of certain **Practices** under multiple **Standards** is essential.

The ratings for these **Practices** are divided into three levels of performance which include: (1) Not Met (the provider did not meet the expected level of performance for this **Practice**); (2) Partially Met (the provider partially met the expected level of performance for this **Practice**); and (3) Fully Met (the provider completely met the expected level of performance for this **Practice**).

Achievement Checklist and Training Resources

In this Guidance, specific **Practices** have been listed; however, interpretation of achievement will require the user to assess proficiency using their professional judgment supported by the **Training Resources** which accompany each **Goal**. The list of **Training Resources** included is to be used by sponsors for training purposes as well as by providers as a reference in instances where they are unsure of the meaning or the underlying principles of a **Standard** or **Goal**. The **Training Resources** listed are ones that were either developed by USDA or by other government agencies with significant input from USDA. Sponsors may contact the State agency responsible for overseeing the administration of the CACFP at the local level and providers may contact their sponsoring organizations for information on how to obtain the **Training Resources** listed. State agencies, sponsoring organizations, and providers are encouraged to make additions to this list of **Training Resources** to meet their individualized needs.

As mentioned previously, this Guidance can be used in a variety of ways. It can be used by the sponsor as a formal training tool and/or by the provider as a self-assessment guide. In either case, when all **Practices** under a **Goal** are met, the individual **Goal** has been achieved. Similarly, when all **Goals** under a **Standard** have been met, the **Standard** has been achieved. An **Achievement Checklist** has been included to assist the user in tracking accomplishments. Providers are to “check off” whether they have met, partially met, or not met each **Practice**. If providers have established that they have not met or have only partially met a **Practice**, they can refer to the **Training Resources** as a reference in order to reinforce their knowledge or understanding of the underlying principles of a **Standard** or **Goal**.

If the provider does not meet a **Practice** after reviewing the suggested **Training Resources**, sponsors may offer additional training specific to the area that needs improvement. Once providers are confident that they understand and are complying with the **Practice**, they are to re-assess their achievement.

The overall objective of this Guidance is to define training and technical assistance needs as well as to assess the provider's operation of the CACFP. Presently, CACFP child care home providers are receiving an average of thirteen hours per year of training on a variety of CACFP related subjects which include menu planning, types and amounts of food to serve, meal counts, nutrient content of foods, and food safety and sanitation. In an effort to improve program integrity, management, and regulatory compliance, the Department recommends that providers continue their thirteen hours per year of quality, CACFP related training. This number is consistent with the number of annual continuing education hours recommended for day care home caregivers by the American Public Health Association and the American Academy of Pediatrics in the **National Health and Safety Performance Standards**. Of the recommended thirteen hours of annual provider training, the Department is encouraging sponsoring organizations to perform or sponsor at least eleven of the thirteen total training hours.

The eleven hours of training performed or sponsored by the sponsoring organization may include formal training sessions and "informal" training of providers conducted during the three required review visits. The remaining two hours of recommended provider training may be conducted by sponsors or child care providers may choose their own training resources. If a provider chooses the training resources, the provider should choose formal CACFP related training courses that are conducted by qualified sources such as a community or State college, county Extension office, local health department or hospital, county parks and recreation department, professional association, etc. The Department strongly encourages sponsors to maximize the amount of "formal" training completed by providers (as opposed to training obtained during a review visit) in an effort to educate child care providers under conditions which minimize distractions.

Time Frames for Completion

There should be no restrictions placed on the length of time it takes a day care home provider to complete the self-assessment. An achievement assessment is an ongoing process. Providers should be encouraged to conduct this assessment at "their own pace" so that they are confident that they understand and are complying with the goals of the CACFP. However, the sponsor on-site verification should not be conducted until the provider has completed the entire self-assessment. In addition, providers are encouraged to re-evaluate themselves (with or without

another on-site verification of compliance by the sponsor) on an annual basis to ensure their continuous compliance with program objectives.

As Stated above, the **Practices** include regulatory CACFP requirements as well as recommendations. The **Practices** which are regulatory requirements must be met by providers in order to qualify for participation in the CACFP as well as for their continued participation in the program. While it is not expected that providers meet the recommended **Practices** as a condition for CACFP participation (either initially or on a continued basis), providers are strongly encouraged to work towards becoming proficient in all of the **Practices** included in this Guidance. Providers should keep in mind that many of the recommendations listed are requirements enforced by State and/or local regulatory agencies. Therefore, they must be adhered to in order for providers to be in compliance with these State and/or local requirements. However, the implementation of this Standards of Merit assessment is strictly voluntary.

Obtaining a Standards of Merit Certificate

It is intended that this Guidance be used first by sponsors as a training tool for the purpose of teaching providers about the program goals that they should strive to meet, the benefits of meeting these goals, and the methods for achieving these goals. Once training is completed the provider, with the assistance of the sponsor (when possible), should develop an individualized timeline schedule (i.e., the Standards of Merit Timeline Chart) for studying and completing all of the self-assessment tasks. Upon approval of the plan by the sponsor, providers will utilize this Guidance as a self-evaluation tool in assessing the degree of merit that they have achieved in all three defined areas. Upon the completion of the provider's self-assessment, sponsors will conduct an on-site visit (i.e., can be part of one of the three required annual review visits) for the purpose of verifying the information included in the self-assessment. Once the sponsor has verified that the provider has achieved the criteria identified in all three areas, the sponsor applies for a Standards of Merit Certificate from the State agency on behalf of the provider.

A prototype certificate is included in this Guidance for use by the State agency. State agencies may re-format this certificate as needed to meet their individualized needs.

Additional Uses for this Guidance

In addition to using this Guidance material for the purpose of conducting a Standards of Merit program, State agencies, sponsoring organizations, and providers may use it in other ways for the purpose of establishing and maintaining a safe and quality child care feeding program. Some examples of additional uses for this Guidance include:

- State agencies use this material for training sponsors;

- Sponsoring organizations use this material for training providers;
- Sponsors and providers use this material for self-training;
- State agencies use this material as part of an assessment of the quality of a sponsor's training program;
- Sponsors use this material to assess a provider's knowledge as well as the quality of their feeding program; and
- Providers use this material as a self-assessment of their knowledge as well as the quality of their feeding program.

Although this Guidance may be used to meet various needs of CACFP administrators and participants, it is recommended that State agencies refrain from issuing a Standards of Merit Certificate unless the recommended procedures listed previously are followed.

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How to Do the Self-Assessment

What is the self-assessment? The self-assessment is a comprehensive self-evaluation of several aspects of the CACFP operation in day care homes.

How is the self assessment used? The self-assessment is used by child care providers to systematically evaluate their Program and identify areas in need of improvement. After improvements are made, the results are reported to the sponsoring organization for use in making a decision as to whether the provider has earned a Standards of Merit Certificate.

What are the benefits of the self-assessment? Taking an honest look at the CACFP as it operates today is the first step toward making the improvements that the child care provider needs. One way to take an honest look is through the self-assessment. The self-assessment helps the provider and sponsor analyze the strengths and weaknesses of the Program, focus attention on areas in need of improvement, and also congratulate themselves for achieving and maintaining those areas that are clearly strengths.

How should the self-assessment be conducted? This Guidance describes steps required of all CACFP providers and sponsoring organizations participating in the self-assessment process. CACFP participants can be as creative as possible in adding other dimensions. There is no one right way to conduct the self-assessment. However, there is a **wrong** way.

What is the **wrong** way to use the self-assessment?

- The sponsor acts alone telling child care providers what they must do.
- Child care providers simply check off that they meet the **Standards** without thoughtful consideration and critical self-examination.
- Child care providers receive only criticism for what they are doing wrong without acknowledgment for what they are doing well.
- Food preparation and meal services are not observed closely by sponsors to learn what really happens.
- The self-assessment is rushed without adequate time given to reflect on and make necessary improvements.
- The process is threatening and providers become defensive.

Who does the The self-assessment is designed to involve the sponsoring organization

self-assessment?	and the child care provider. The word self refers to each person's involvement in examining her or his own contribution to the program.
What resources will be needed to conduct the self-assessment?	Under each Goal , Training Resources are listed as reference materials. This list of Training Resources is to be used by sponsors for training purposes as well as by providers as a reference in instances where they are unsure of the meaning or the underlying principles of a Standard or Goal . Sponsors may contact the State agency responsible for overseeing the administration of the CACFP at the local level and providers may contact their sponsoring organizations for information on how to obtain the Training Resources listed. State agencies, sponsoring organizations, and providers are encouraged to make additions to the list of Training Resources as needed.
How long will it take?	The self-assessment is designed to be self-directed. The length of time is determined by the program and the improvements the provider and sponsor wish to make. Regardless of how much time the provider takes to get ready, the information that is assessed by the sponsor upon completion by the provider must be current and should reflect the existing situation, not what it was when the self-assessment began nor what the provider plans to do in the future.
What are the self-assessment steps?	<p>Sponsors and child care providers are expected to work as a team in completing the assessment. The assessment process involves four steps:</p> <p>Step 1 — Training. Sponsors provide training to providers for the purpose of reviewing the various Standards and Goals expected of providers. When a provider or sponsor is unsure of the meaning or purpose of the Practice listed, they may refer to the recommended Training Resource listed with each Practice for clarification. As Stated above, sponsors may contact the State agency responsible for overseeing the administration of the CACFP at the local level and providers may contact their sponsoring organizations for information on how to obtain the Training Resources listed. State agencies, sponsoring organizations, and providers are encouraged to make additions to the list of Training Resources as needed.</p> <p>The training can be conducted by sponsors on a group basis (i.e., as part of an annual training session to meet CACFP regulatory requirements) or it can be conducted by sponsors to providers on an individual basis (i.e., as part of the required three annual site reviews).</p> <p>Step 2 — Standards of Merit Timeline Chart. Sponsors and providers work together to develop an individualized plan for completing all self-assessment tasks. A Standards of Merit Timeline Chart is enclosed for the purpose of identifying dates to serve as goals for completing each</p>

Standard. There should be no restrictions placed on the length of time it takes a day care home provider to complete each **Standard** or **Goal**. Providers should be encouraged to conduct a self-assessment of each **Standard** or **Goal** at “their own pace” to ensure that they understand and are complying with the objectives of the CACFP.

Step 3 — Self-Assessment. Child care providers conduct a self-assessment to determine how well they are meeting the established **Standards** and **Goals**. An **Achievement Checklist** has been included to assist the user in tracking accomplishments. By the established date, providers are to “check off” whether they have met, partially met, or not met each **Practice**.

If providers have established that they have not met or have only partially met a **Practice**, they may refer to the **Training Resources** as a reference in order to reinforce their knowledge and understanding of the underlying principles of a **Standard** or **Goal**. If the provider is not meeting a **Practice** after reviewing the suggested **Training Resource(s)**, sponsors may offer additional training specific to the area that needs improvement. Once providers are confident that they understand and are complying with the unmet or partially met **Practice**, they are to re-assess their achievement.

Step 4 — Sponsor Review of Self-Assessment. Sponsors make an on-site visit (can be part of one of the three required annual review visits) to verify the accuracy of the provider’s self-assessment. If the sponsor determines that the provider has not met or has only partially met a **Practice**, sponsors should offer immediate on-site training specific to the area that needs improvement. Once the additional training is completed, the provider is given the opportunity to demonstrate compliance with the unmet **Practice**. If the provider cannot meet the **Practice** after the sponsor has completed the initial review and has offered immediate training, the sponsor and provider will establish a revised achievement date for the unmet **Practice** on the **Standards of Merit Timeline Chart**.

The sponsor will conduct a second on-site visit (the review can be part of one of the three required annual review visits) in accordance with the revised Standards of Merit Timeline Chart to verify that the provider is currently meeting the **Practice** in question. Once the sponsor has established that the provider is meeting all **Standards**, the sponsor applies for a Standards of Merit Certificate from the State agency on behalf of the provider.

Standards of Merit Timeline Chart

The purpose of this chart is to help child care providers develop their own individualized plan for obtaining a Standards of Merit Certificate. Upon completion of initial provider training by the sponsor, identify dates for the completion of each provider self-assessment task (i.e., **Practice**) as well as for the sponsor review of the provider self-assessment.

Standard and Goal	Provider Self-Training	Practice Achievement	Re-Assessment (if Practice not Fully Met)	Sponsor On-Site Verification
1. Administration and Operations <i>Provider Complies with CACFP Administrative Requirements:</i> Provider knows and complies with program administrative requirements Provider complies with State requirements Provider complies with Sponsor's administrative requirements				

Standard and Goal	Provider Self-Training	Practice Achievement	Re-Assessment (if Practice not Fully Met)	Sponsor On-Site Verification
<p>2. Meal Service and Nutrition</p> <p><i>Provider Complies with CACFP Feeding Requirements and Serves Nutritious Meals:</i></p> <p>Provider knows the CACFP meal pattern for children twelve months of age and older</p> <p>If applicable, provider knows the CACFP infant feeding requirements for children under twelve months of age</p> <p>Provider has knowledge of nutrition and nutrition education</p> <p>Provider complies with CACFP feeding accommodations for children with medically documented individual dietary needs</p>	<hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/>

Standard and Goal	Provider Self-Training	Practice Achievement	Re-Assessment (if Practice not Fully Met)	Sponsor On-Site Verification
2. Meal Service and Nutrition_ (Continued) Providers may, in compliance with the meal pattern, make accommodations for children who have individual dietary requests				
<i>Provider Plans and Prepares Meals That Meet CACFP Meal Pattern Requirements:</i> Provider plans menus and purchases foods to meet the CACFP meal pattern Provider prepares and serves CACFP meals demonstrating proficiency in basic food preparation techniques				
Standard and Goal	Provider Self-Training	Practice Achievement	Re-Assessment (if Practice not Fully Met)	Sponsor On-Site Verification
3. Health, Safety, and Well-Being				

<p><i>Provider Adheres to Appropriate Health and Sanitation Practices:</i></p> <p>Provider stores foods properly</p> <p>Provider properly prepares, holds, and serves foods</p> <p>Provider keeps the child care facility and equipment clean and sanitary</p>	<hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/>
<p><i>Provider Promotes the Safety and Well-Being of the Children in Care:</i></p> <p>Provider maintains a safe environment for children and caretakers</p>	<hr/>	<hr/>	<hr/>	<hr/>

Standard and Goal	Provider Self-Training	Practice Achievement	Re-Assessment (if Practice not Fully Met)	Sponsor On-Site Verification
3. Health, Safety, and Well-Being (Continued) Provider understands the various stages of physical development and the impact on feeding Provider encourages positive eating attitudes and behaviors in children				

Standard — Provider Complies with CACFP Administrative Requirements

Goal	Practices	Achievement Checklist:		
Administration		Met	Partially Met	Not Met
Provider knows and complies with program administrative requirements.	Follows meal claim and record keeping requirements	_____	_____	_____
	• maintains daily attendance records	_____	_____	_____
	• keeps accurate meal counts during meal service by meal type/child	_____	_____	_____
	• maintains daily menus by meal type	_____	_____	_____
	• maintains meal substitution records	_____	_____	_____
	• maintains medical Statement records for all substitutions related to medical or special dietary needs	_____	_____	_____
	• ensures that all meals claimed comply with the appropriate meal patterns	_____	_____	_____
	• collects child enrollment forms and updates	_____	_____	_____
	• complies with eligibility requirements for claiming own children	_____	_____	_____
	• claims only meals approved for reimbursement	_____	_____	_____

	<p>Demonstrates knowledge of meal requirements/limitations as outlined in agreement</p> <ul style="list-style-type: none"> • reimbursement does not exceed two meals and one snack per child per day • reimbursement is not claimed for meals served to children in excess of the home's authorized capacity • only children 12 years or under, migrant children through 15 years or individuals that have documented disabilities, as defined by the State, are claimed <p>Reports meal changes (types/times) promptly</p> <p>Complies with Civil Rights requirements applicable to provider</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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Standard — Provider Complies with CACFP Administrative Requirements

Goal Administration	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider complies with State requirements.	• Maintains current license/approval status	_____	_____	_____	<ul style="list-style-type: none"> Day Care Homes Handbook CACFP Regulations
	• Informs the Sponsor when continued licensing/approval is interrupted	_____	_____	_____	
	• Does not exceed licensed or authorized capacity	_____	_____	_____	

NOTES:

Standard — Provider Complies with CACFP Administrative Requirements

Goal Administration	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider complies with Sponsor's administrative	• Complies with training requirements	_____	_____	_____	<ul style="list-style-type: none"> Day Care Homes Handbook CACFP Regulations

requirements.	<ul style="list-style-type: none">• Complies with monitoring requirements• Submits timely and accurate claims	<div>____</div> <div>____</div> <div>____</div>	
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NOTES:

Standard — Provider Complies with CACFP Feeding Requirements and Serves Nutritious Meals

Goal Nutrition	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider knows the CACFP meal pattern for children twelve months of age and older.	<ul style="list-style-type: none"> Prepares and serves all meals and snacks in accordance with the requirements of the CACFP 	_____	_____	_____	<ul style="list-style-type: none"> Day Care Homes Handbook
	<ul style="list-style-type: none"> Applies the CACFP meal pattern to meet age appropriate needs (for example, provider does not serve skim or low fat milk to children under two years of age) 	_____	_____	_____	<ul style="list-style-type: none"> Homes Nutrition Guidance
	<ul style="list-style-type: none"> Can plan one month of menus utilizing the CACFP meal patterns 	_____	_____	_____	<ul style="list-style-type: none"> Nutrition Video
	<ul style="list-style-type: none"> Prepares meals with at least the minimum amounts of food required to be served to each age group 	_____	_____	_____	<ul style="list-style-type: none"> Nutrition Guidance
	<ul style="list-style-type: none"> Knows that non-creditable items cannot be counted as part of their reimbursable meal 	_____	_____	_____	<ul style="list-style-type: none"> CACFP Food Chart
		_____	_____	_____	<ul style="list-style-type: none"> Food Buying Guide
					<ul style="list-style-type: none"> What's In a Meal?
					<ul style="list-style-type: none"> CACFP Regulations

NOTES:

Standard — Provider Complies with CACFP Feeding Requirements and Serves Nutritious Meals

Goal Nutrition	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
If applicable, provider knows the CACFP infant feeding requirements for children under twelve months of age.	<ul style="list-style-type: none"> • Consults with parents before a decision is made to serve solid or new foods to infants and before switching from formula/breast milk to whole milk 	_____	_____	_____	<ul style="list-style-type: none"> • CACFP Regulations • Feeding Infants • Food Buying Guide • Breastfed Babies • What's in a Meal? • Homes Nutrition Guidance • Day Care Homes Handbook
	<ul style="list-style-type: none"> • Prepares and serves all reimbursable meals and snacks in accordance with the requirements of the CACFP for each age group 	_____	_____	_____	
	<ul style="list-style-type: none"> • Can plan one month of menus utilizing the CACFP infant meal patterns 	_____	_____	_____	
	<ul style="list-style-type: none"> • Applies the CACFP meal pattern to meet age appropriate needs (for example, provider does not serve baby food to children over 12 months of age) 	_____	_____	_____	
	<ul style="list-style-type: none"> • Prepares meals with at least the minimum amounts of food required to be served to each age group 	_____	_____	_____	
	<ul style="list-style-type: none"> • Knows that non-creditable items cannot be counted as part of their reimbursable meal 	_____	_____	_____	

These columns continued on following page.

NOTES:

Standard — Provider Complies with CACFP Feeding Requirements and Serves Nutritious Meals

Goal Nutrition	Practices	Achievement Checklist: Met Partially Met Not Met	Training Resources
<p>(continued from previous page)</p> <p>If, applicable, provider knows the CACFP infant feeding requirements for children under twelve months of age.</p>	<ul style="list-style-type: none"> Serves foods within the infant meal pattern that are of a texture and consistency appropriate to age group and child's development Claims meals utilizing breast milk or parent-provided formula served to infants four months of age or older only when the other required/optional meal component or components are supplied by the provider (Note: providers may not claim for meals utilizing parent-provided formula served to infants birth through 3 months of age as there are no additional components that are required for reimbursement for this age group) Serves breast milk or iron-fortified infant formula unless it is necessary for a parent to provide other formula for reasons documented by a medical authority 	<div>_____</div> <div>_____</div> <div>_____</div>	<ul style="list-style-type: none"> Day Care Homes Handbook Homes Nutrition Guidance Nutrition Video Nutrition Guidance CACFP Food Chart

NOTES:

Standard — Provider Complies with CACFP Feeding Requirements and Serves Nutritious Meals

Goal Nutrition	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider has knowledge of nutrition and nutrition education.	<ul style="list-style-type: none"> Serves a variety of foods to include a minimum of one serving daily of a fruit, vegetable, or juice high in vitamin C; a food high in vitamin A at least three times a week; and foods that are a good source of iron daily 	_____	_____	_____	<ul style="list-style-type: none"> Food Buying Guide Dietary Guidelines Healthy Food Choices Food Guide Pyramid What's In a Meal? Feeding Infants
	<ul style="list-style-type: none"> Displays an understanding of the food guide pyramid and its applicability to meal planning 	_____	_____	_____	
	<ul style="list-style-type: none"> Considers the Dietary Guidelines in preparing menus for children ages two years and older 	_____	_____	_____	
	<ul style="list-style-type: none"> Understands and utilizes food labeling when buying foods and preparing meals 	_____	_____	_____	
	<ul style="list-style-type: none"> Demonstrates basic knowledge of developmental characteristics of children in relation to feeding 	_____	_____	_____	
	<ul style="list-style-type: none"> Incorporates nutrition related activities into on-going functions 	_____	_____	_____	
	<ul style="list-style-type: none"> Communicates with parents to understand individual child's nutritional needs, feeding behaviors and habits 	_____	_____	_____	
	<ul style="list-style-type: none"> Offers water throughout the day 	_____	_____	_____	

NOTES:

Standard — Provider Complies with CACFP Feeding Requirements and Serves Nutritious Meals

Goal Nutrition	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
<p>Provider complies with CACFP feeding accommodations for children with medically documented individual dietary needs.</p>	<ul style="list-style-type: none"> Meets special dietary needs of children in care (due to allergies, disabilities, chronic illnesses, etc.) 	_____	_____	_____	<ul style="list-style-type: none"> Special Needs Guidance Homes Nutrition Guidance Nutrition Video Day Care Homes Handbook What's In a Meal?
<p>Providers may, in compliance with the meal pattern, make accommodations for children who have individual dietary requests.</p>	<ul style="list-style-type: none"> May meet individual dietary requests of children in care (such as ethnic, religious, and vegetarian preferences, etc.) 	_____	_____	_____	

NOTES:

Standard — Provider Plans and Prepares Meals that Meet CACFP Meal Pattern Requirements

Goal Meal Service	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider plans menus and purchases foods to meet the CACFP meal pattern.	Can plan one month of menus using CACFP meal pattern for children and infants if in care	_____	_____	_____	<ul style="list-style-type: none"> • CACFP Regulations • Homes Nutrition Guidance • Nutrition Video • Day Care Homes Handbook
	Demonstrates knowledge of crediting:				
	<ul style="list-style-type: none"> • self prepared foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • commercially prepared foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • combination foods 	_____	_____	_____	
	Considers the following when planning menus:				
	<ul style="list-style-type: none"> • variety/cycle menus 	_____	_____	_____	
	<ul style="list-style-type: none"> • seasonal foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • texture, shape, color 	_____	_____	_____	
	<ul style="list-style-type: none"> • temperature 	_____	_____	_____	
	<ul style="list-style-type: none"> • children's acceptability 	_____	_____	_____	
	<ul style="list-style-type: none"> • introduction of new foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • cultural/ethnic foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • developmentally appropriate foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • nutritional value of foods 	_____	_____	_____	

These columns continued on following page.

NOTES:

Standard — Provider Plans and Prepares Meals that Meet CACFP Meal Pattern Requirements

Goal Meal Service	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
<p>(continued from previous page)</p> <p>Provider plans menus and purchases foods to meet the CACFP meal pattern.</p>	<ul style="list-style-type: none"> Purchases enough food to adequately meet the quantity requirements Purchases and serves quality foods that are properly inspected, where applicable/required (i.e., government-inspected meats and poultry, pasteurized dairy products) Serves no home-canned foods 	<p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p>	<ul style="list-style-type: none"> CACFP Food Chart Healthy Food Choices What's In a Meal?

NOTES:

Standard — Provider Plans and Prepares Meals that Meet CACFP Meal Pattern Requirements

Goal Meal Service	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider prepares and serves CACFP meals demonstrating proficiency in basic food preparation techniques.	<ul style="list-style-type: none"> Prepares sufficient amounts of foods to meet minimum meal portion sizes for all age groups present 	_____	_____	_____	<ul style="list-style-type: none"> Homes Nutrition Guidance
	<ul style="list-style-type: none"> Ensures that recipes used provide a sufficient amount of planned components 	_____	_____	_____	<ul style="list-style-type: none"> Nutrition Video
	<ul style="list-style-type: none"> Uses food preparation skills and techniques as well as cooking methods to retain nutrients 	_____	_____	_____	<ul style="list-style-type: none"> Day Care Homes Handbook
	<ul style="list-style-type: none"> When serving meals family style, follows USDA requirements 	_____	_____	_____	<ul style="list-style-type: none"> What's In a Meal?

NOTES:

Standard — Provider Adheres to Appropriate Health and Sanitation Practices

Goal Sanitation	Practices	Achievement Checklist: Met Partially Not Met Met Met	Training Resources
Provider stores foods properly.	<ul style="list-style-type: none"> • Stores dry goods, frozen, and refrigerated foods at the proper temperatures (i.e., 40° F for refrigerated foods and 0° F for frozen foods) • Checks thermometer daily in refrigerator and freezer to verify proper cold food storage temperatures • Promptly stores frozen and refrigerated foods after purchasing • Rotates food using "First In, First Out" storage procedures • Discards leftovers within two days of initial service 	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<ul style="list-style-type: none"> • Homes Nutrition Guidance • Nutrition Video • Feeding Infants • Breastfed Babies

These columns continued on following page.

NOTES:

Standard — Provider Adheres to Appropriate Health and Sanitation Practices

Goal Sanitation	Practices	Achievement Checklist: Met Partially Met Not Met			Training Resources
(continued from previous page) Provider stores foods properly.	<ul style="list-style-type: none">Discards food after expiration dateEstablishes and implements alternate frozen and refrigerated food storage plan in the event of a long term power outageStores food in containers that are labeled and covered with tight fitting lidsStores food off of floor and away from cleaning supplies	_____	_____	_____	<ul style="list-style-type: none">Safe Food HandlingPreventing Foodborne IllnessWhat's In a Meal?National Health and Safety Performance Standards

NOTES:

Standard — Provider Adheres to Appropriate Health and Sanitation Practices

Goal Sanitation	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider properly prepares, holds, and serves foods.	<ul style="list-style-type: none"> • Washes hands and arms with soap and running water prior to food preparation, handling, or serving 	_____	_____	_____	<ul style="list-style-type: none"> • Homes Nutrition Guidance • Nutrition Video • Feeding Infants • Breastfed Babies • Safe Food Handling
	<ul style="list-style-type: none"> • Washes fruits and vegetables thoroughly prior to use 	_____	_____	_____	
	<ul style="list-style-type: none"> • Washes tools and utensils (with hot soapy water) used to prepare one food item before using them to prepare another 	_____	_____	_____	
	<ul style="list-style-type: none"> • Scrubs cutting boards with hot water and detergent and sanitizes between use for different foods 	_____	_____	_____	
	<ul style="list-style-type: none"> • Does not prepare, store, or serve food in diaper-changing area 	_____	_____	_____	
	<ul style="list-style-type: none"> • Does not serve home-canned food, food from damaged cans, or food from cans without labels 	_____	_____	_____	

These columns continued on following page.

NOTES:

Standard — Provider Adheres to Appropriate Health and Sanitation Practices

Goal Sanitation	Practices	Achievement Checklist:	Training Resources
Met	Partially Met	Not Met	
<p>(continued from previous page)</p> <p>Provider properly prepares, holds and serves foods.</p>	<ul style="list-style-type: none"> Thaws all frozen potentially hazardous food in refrigerator, microwave, or has other local Health Department approved methods (i.e., not at room temperature) 	<div>_____</div> <div>_____</div> <div>_____</div>	<ul style="list-style-type: none"> Preventing Foodborne Illness
	<ul style="list-style-type: none"> Heats all leftover foods to 165°F or higher as rapidly as possible 	<div>_____</div> <div>_____</div> <div>_____</div>	<ul style="list-style-type: none"> What's In a Meal?
	<ul style="list-style-type: none"> Cooks food as near to serving time as possible and holds food at 140°-165° F prior to and throughout meal service 	<div>_____</div> <div>_____</div> <div>_____</div>	<ul style="list-style-type: none"> National Health and Safety Performance Standards
	<ul style="list-style-type: none"> Labels, dates, and stores leftovers promptly in the refrigerator after service (i.e., other than in cooking container(s) and within two hours) and discards food that has been served, but not eaten 	<div>_____</div> <div>_____</div> <div>_____</div>	
	<ul style="list-style-type: none"> Stores prepared and uncooked foods away from raw meats 	<div>_____</div> <div>_____</div> <div>_____</div>	
	<ul style="list-style-type: none"> Establishes plan for holding refrigerated foods below 45° F during field trips, picnics, etc. 	<div>_____</div> <div>_____</div> <div>_____</div>	
	<ul style="list-style-type: none"> Washes and sanitizes table surface before and after eating; serves food on plates, etc.; and does not place food on a bare table or high chair top 	<div>_____</div> <div>_____</div> <div>_____</div>	
	<ul style="list-style-type: none"> Air dries dishes after cleaning and sanitizing 	<div>_____</div> <div>_____</div> <div>_____</div>	
	<ul style="list-style-type: none"> Discards leftover baby food in jar 	<div>_____</div> <div>_____</div> <div>_____</div>	
	<ul style="list-style-type: none"> Discards leftover breast milk, infant formula, or milk in bottle 	<div>_____</div> <div>_____</div> <div>_____</div>	

Standard — Provider Adheres to Appropriate Health and Sanitation Practices

Goal Sanitation	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider keeps the child care facility and equipment clean and sanitary.	<ul style="list-style-type: none"> • Cleans all areas (i.e., floors, surfaces, carpets, shelves, equipment, etc.) regularly 	_____	_____	_____	<ul style="list-style-type: none"> • Homes Nutrition Guidance • Nutrition Video • National Health and Safety Performance Standards
	<ul style="list-style-type: none"> • Cleans and disinfects frequently touched toys daily for infants and toddlers and weekly for older (nondiapered) children 	_____	_____	_____	
	<ul style="list-style-type: none"> • Cleans bathrooms daily (or more often, as needed), and supplies soap and single use towels 	_____	_____	_____	
	<ul style="list-style-type: none"> • Defrosts and cleans refrigerators, freezers, and microwaves on a regularly scheduled basis 	_____	_____	_____	

These columns continued on following page.

NOTES:

Standard — Provider Adheres to Appropriate Health and Sanitation Practices

Goal Sanitation	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
<p>(continued from previous page)</p> <p>Provider keeps the child care facility and equipment clean and sanitary.</p>	<ul style="list-style-type: none"> Requires children to wash hands and arms with soap and running water immediately before eating Provides each child with clean individual eating and drinking utensils Washes hands after each diaper changing Keeps animals out of food preparation, food storage, and eating areas, and washes hands after handling animals or animal wastes Keeps child care facility free from pest infestation Stores all garbage away from food preparation area in non-absorbent, washable garbage cans 	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<ul style="list-style-type: none"> Preventing Foodborne Illness Safe Food Handling

NOTES:

Standard — Provider Promotes the Safety and Well-Being of the Children in Care

Goal Safety and Well-Being	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider maintains a safe environment for children and caretakers.	<ul style="list-style-type: none"> The facility has an adequate number and type of working smoke detectors and fire extinguishers, and provider knows how to use them 	_____	_____	_____	<ul style="list-style-type: none"> CACFP Regulations
	<ul style="list-style-type: none"> Establishes and implements emergency procedures in the event of a fire, medical or other emergency situations 	_____	_____	_____	<ul style="list-style-type: none"> Feeding Infants
	<ul style="list-style-type: none"> Stores cleaning supplies, medicines, pesticides, and other toxic substances out of the reach of children and away from food 	_____	_____	_____	<ul style="list-style-type: none"> Breastfed Babies
	<ul style="list-style-type: none"> Makes appropriate safety modifications to facility 	_____	_____	_____	<ul style="list-style-type: none"> Safe Food Handling Homes Nutrition Guidance

These columns continued on following page.

NOTES:

Standard — Provider Promotes the Safety and Well-Being of the Children in Care

Goal Safety and Well-Being	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
<p>(continued from previous page)</p> <p>Provider maintains a safe environment for children and caretakers.</p>	<ul style="list-style-type: none"> Demonstrates knowledge of basic first-aid, stores first-aid kit in an easily accessible area, and demonstrates knowledge of age appropriate CPR and the Heimlich maneuver 	_____	_____	_____	<ul style="list-style-type: none"> Nutrition Video Preventing Foodborne Illness National Health and Safety Performance Standards Day Care Homes Handbook
	<ul style="list-style-type: none"> Demonstrates an understanding of foodborne illnesses, recognizes the physical symptoms in a child, and follows the appropriate procedures when a child becomes ill 	_____	_____	_____	
	<ul style="list-style-type: none"> Recognizes the signs of abuse/neglect, and reports instances to the appropriate authority 				
	<ul style="list-style-type: none"> Furnishings, play equipment, and materials are sturdy, free of sharp points or corners, splinters, protruding nails or bolts, loose rusty parts, hazardous small parts, or paint that contains lead or other poisonous materials 	_____	_____	_____	

NOTES:

Standard — Provider Promotes the Safety and Well-Being of the Children in Care

Goal Safety and Well-Being	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider understands the various stages of physical development and the impact on feeding.	Identifies normal sequence of large and small motor skill development <ul style="list-style-type: none"> sucking/swallowing rotary chewing hand to mouth (using a spoon, drinking from a cup, self-feeding, etc.) balance (sitting in chair) 	____ ____ ____	____ ____ ____	____ ____ ____	<ul style="list-style-type: none"> Homes Nutrition Guidance Day Care Homes Handbook Feeding Infants Breastfed Babies National Health and Safety Performance Standards What's In a Meal?
	Serves the appropriate textures of food for different levels of development <ul style="list-style-type: none"> modifies textures of foods (mashes, purees, etc.) cuts toddler and infant foods into small pieces does not serve foods that are potential choking hazards 	____ ____ ____	____ ____ ____	____ ____ ____	

NOTES:

Standard — Provider Promotes the Safety and Well-Being of the Children in Care

Goal Safety and Well-Being	Practices	Achievement Checklist:			Training Resources
		Met	Partially Met	Not Met	
Provider encourages positive eating attitudes and behaviors in children.	Recognizes common meal behaviors and discusses them with parents	_____	_____	_____	<ul style="list-style-type: none"> • Homes Nutrition Guidance • Nutrition Video • Breastfed Babies • Feeding Infants • National Health and Safety Performance Standards • What's In a Meal?
	• refusing new foods	_____	_____	_____	
	• preferences	_____	_____	_____	
	• food jags (changes in appetite)	_____	_____	_____	
	Discourages eating when playing, lying down, or riding in vehicles	_____	_____	_____	
	Encourages socialization	_____	_____	_____	
	• manners	_____	_____	_____	
	• sharing	_____	_____	_____	
	• communication skills	_____	_____	_____	
	Encourages a positive environment	_____	_____	_____	
	• serves as a good role model	_____	_____	_____	
	• avoids distractions during meal time	_____	_____	_____	
	• has age appropriate equipment (chairs, dishes, utensils)	_____	_____	_____	
	• has appropriate time allowance for children to eat	_____	_____	_____	
	• supervises meals	_____	_____	_____	
	• encourages, not forces, children to eat and does not use food as a reward or punishment	_____	_____	_____	
	• sits and eats with children when possible	_____	_____	_____	

NOTES:

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Training and Materials Resources

Resources Available from USDA's Food and Nutrition Service

(703) 305-2590 OR <http://www.usda.gov>

7 CFR Part 226 (CACFP Regulations)

FNS Instruction 113-4, Civil Rights Compliance and Enforcement in the Child Care Food Program

FNS Instruction 796-2, Rev. 2, Financial Management—Child and Adult Care Food Program

Other applicable FNS Instructions

* Child and Adult Care Food Program Nutrition Guidance for Child Care Homes, September 1995

** Child and Adult Care Food Program Nutrition Guidance for Child Care Centers, September 1995

Nutrition Guidance for Child Care Video, September 1995

* Child and Adult Care Food Program Day Care Homes Handbook, October 1994

** Child and Adult Care Food Program Child Care Centers Handbook, Revised August 1995

Accommodating Children with Special Dietary Needs in the School Nutrition Programs: Guidance for School Food Service Staff, Revised September 1999

Food Buying Guide for Child Nutrition Programs, PA-1331, January 1984

(Out of print but will become available on the Healthy School Meals Resource System—<http://schoolmeals.nal.usda.gov:8001>—in the Fall of 1999.)

Resources Available from Center for Nutrition Policy and Promotion (CNPP)

Publications Hotline (202) 606-8000 OR Phone (202) 418-2312 OR <http://www.usda.gov>

(Orders from CNPP for single copies only, order quantities from Government Printing Office)

USDA's Food Guide Pyramid Book, Revised 1996

Dietary Guidelines for Americans, HGB-232, Fourth Edition, 1995

Resources Available from Government Printing Office (GPO)

Phone (202) 512-1800

Making Healthy Food Choices, HGB-250 (English), 1999

Making Healthy Food Choices, HGB-250S (Spanish), December 1994

Resources Available from National Food Service Management Institute (NFSMI)

Phone (800) 321-3054 OR FAX (800) 321-3061

Building for the Future: Nutrition Guidance for the Child Nutrition Programs

FNS-279 (English), April 1992, NFSMI Order # FNS-279

Breastfed Babies Welcome Here Packet, October 1993, NFSMI Order # FNS-1518

What's In a Meal, Second Edition July 1996, Third Edition January 1999, NFSMI Order # EX15-95

Food, Family and Fun: A Seasonal Guide to Healthy Eating, 1998, NFSMI Order # FCS-298

Go, Glow, Grow: Foods For You, 1996, NFSMI Order # FCS-1554

Tickle Your Appetite for Child Care, 1998, NFSMI Order # FCS-307

Child Care Recipes—Food For Health and Fun, FNS-304, 1999

Food Guide Pyramid Poster for Children 2 to 6 years of age

Resources Available from the USDA Food Safety and Inspection Service

Phone (202) 720-9352 # OR <http://www.fsis.usda.gov>

The Fightback Brochure (4 Simple Steps to Food Safety) (An update of “A Quick Consumer Guide to Safe Food Handling” HGB-248, 1990)

Preventing Foodborne Illness: A Guide to Safe Food Handling, HGB-247, September 1990

Basic Food Handling, 1997

Other Resources

National Health and Safety Performance Standards: Guidelines for Out-of-Home Child Care Programs, 1992, by the American Public Health Association and the American Academy of Pediatrics. Currently being revised—Available from the National Maternal and Child Health Clearing House at (703) 821-8955

* Specific to Child Care Homes

** Specific to Child Care Centers

Revised September 1999

State Department of Education

Standards of Merit Certificate Awarded to

"For successfully achieving the Child Care Standards of the Child and Adult Care Food Program Task Force Initiative in an effort to improve integrity, management, and regulatory compliance at all levels of Program administration."

Date

Child and Adult Care Food Program Administrator

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**CHILD AND ADULT CARE FOOD PROGRAM
FAMILY DAY CARE HOME SPONSOR REVIEW FORM**

Date(s) of Review	Arrival Time(s)	Departure Time(s)

1. Name of Sponsor:	Agreement Number:
2. Address:	Telephone Number:
3. Name of Person Interviewed:	Title:
4. Review Month:	Provider Sample Size:

COMPLETE DOCUMENTS ON FILE	YES	NO	COMMENTS
5. Application			
6. Agreement			
7. Approved Free and Reduced Price Policy Statement			
8. News Media Release			
9. Management Plan (including Budget)			
10. Provider Applications (for each provider)			
11. Sponsor/Provider Agreement (for each provider)			

12.	Monitoring Documentation				
13.	Training Documentation				
14.	Monthly Claims for Reimbursement				
15.	State Agency Administrative/Policy Memorandum				
16.	The sponsor maintains all records for three years following the end of the fiscal year to which they pertain, or if an audit is outstanding, until the audit is closed.				
		YES	NO	N/A	COMMENTS
17.	Non-Profit Documentation				
18.	Procurement Documentation				
19.	Contracts				

CHILD AND ADULT CARE FOOD PROGRAM
FAMILY DAY CARE HOME SPONSOR REVIEW FORM

Agreement Number: _____
Page 2

CIVIL RIGHTS DATA		YES	NO	N/A	COMMENTS
20.	The nondiscrimination poster "...AND JUSTICE FOR ALL" is posted in a conspicuous place.				
21.	Informational materials are provided in the appropriate translation concerning the availability and nutritional benefits of the program as needed.				
22.	The sponsor makes CACFP information available to the public upon request.				
23.	All publications and other forms of communication, such as radio and TV announcements, used to inform the general public, parents of beneficiaries, and potential beneficiaries about the program, include the required nondiscrimination Statement. (Note: Radio or TV announcements 30 seconds or less may use the phrase, "This is an equal opportunity program.")				
24.	The sponsor collects the number of potential eligible participants by racial/ethnic category for the area served each year.				
25.	The sponsor collects racial/ethnic data for enrolled children at each day care home annually and keeps this information on file for three years.				
26.	The sponsor allows equal access to its program, regardless of the race, color, national origin, sex, age, or disability of the day care provider.				
27.	Materials provided by the sponsor for use by the provider to explain the CACFP to parents includes the nondiscrimination Statement and the procedure for filing a complaint.				
PARTICIPATION DATA AND ELIGIBILITY					
28.	Number of homes reported on the Claim for Reimbursement for the review month:				
29.	Number of approved homes verified as participating in the review month:				

	YES	NO	N/A	COMMENTS
30. The sponsor only claimed reimbursement for approved providers. If “NO,” list the providers who were claimed but not approved. Record required corrective action.				
31. Enrollment records are on file to support all children whose meals are claimed by the providers. If “NO,” list the providers who claimed children who are not supported by enrollment records.				
32. Children enrolled are within the regulatory age limits. If “NO,” list the providers who claimed children who are not within the regulatory age limits.				
33. The sponsor uses the current income eligibility application and parent/guardian letter approved by the State agency. If “NO,” explain.				

TIERING POLICY AND DATA		YES	NO	N/A	COMMENTS
34.	The sponsor consistently implements the systems described in their management plan for identifying and determining Tier I and Tier II homes.				
35.	The sponsor has a policy in place regarding re-evaluating the tiering status of homes and making redeterminations.				
TIER I DATA		YES	NO	N/A	COMMENTS
36.	Documentation is maintained to support Tier I determinations based on: Income Information School Data Census Data				
37.	Verification documentation is on file for each provider classified as Tier I based on income.				
38.	The income of each provider classified as Tier I based on income was correctly verified by the sponsor.				
39.	School data and census data are used appropriately by the sponsor in making Tier I determinations.				
40.	A system is in place to ensure that Tier I determinations are made: Each year for income eligibility forms. Every three years for school data. When new census data is issued.				
TIER II DATA		YES	NO	N/A	COMMENTS
41.	The sponsor has informed Tier II providers of the option of identifying income eligible children in their care.				
42.	The sponsor makes income eligibility forms available to households of children enrolled in Tier II homes at the provider's request.				
43.	Completed income eligibility forms are sent directly from the households to the sponsor.				
44.	The sponsor maintains the confidentiality of income eligibility information.				
45.	Income eligibility forms are on file and correctly approved for each child claimed for Tier I reimbursement rates in a Tier II home.				

CHILD AND ADULT CARE FOOD PROGRAM
FAMILY DAY CARE HOME SPONSOR REVIEW FORM

Agreement Number: _____

Page 4

PROVIDERS' OWN		YES	NO	N/A	COMMENTS
46.	Free or reduced-price applications were on file for each provider's child claimed during the review month. If "NO," list the providers who claimed their own children without an approved application.				
47.	The sponsor correctly approved each free or reduced-price application. If "NO," list the providers whose applications were incorrectly approved.				
48.	Providers own children were only claimed when other enrolled day care children were present and claimed for the same meal. If "NO," list the providers who claimed their own children when other day care children were not present and claimed.				
CLAIM FOR REIMBURSEMENT VERIFICATION					
MENUS		YES	NO	N/A	COMMENTS
49.	Daily, dated menus are on file for all meals claimed. If "NO," list the providers who claimed meals that were not supported by daily, dated menus.				
50.	The sponsor reviews provider menus and accurately verifies menus for meal pattern requirements. If "NO," explain.				
51.	The sponsor provides ongoing assistance to all providers on the principles of menu planning, nutrition, dietary guidelines, etc. If "NO," explain.				
MEAL COUNTS		YES	NO	N/A	COMMENTS
52.	Daily meal count records are maintained for each enrolled child for each serving day of the month. If "NO," list the providers who lacked complete meal count records.				
53.	The sponsor implements "edits" that insure accurate meal counts. If "NO," explain.				
54.	The sponsor correctly totaled daily meal counts by meal type and reimbursement rates (Tier I and Tier II) for all providers. If "NO," explain.				
55.	The sponsor correctly consolidated the total meal counts and submitted an accurate Claim for Reimbursement. If "NO," explain and record in the chart below.				

56. Refer to page 9 of the review form to complete the following chart.

Consolidation of Meal Adjustments								
	Breakfast		Lunch		Supper		Snack	
		+ or -		+ or -		+ or -		+ or -
Sponsor Reported								

Reviewer Verified					
------------------------------	--	--	--	--	--

ADMINISTRATIVE COSTS			
57. Item	Budgeted Amount	Amount Claimed	Reviewer Verified
Office Rent	\$	\$	\$
Utilities (Gas, Electricity, etc.)	\$	\$	\$
Salaries/Wages	\$	\$	\$
Benefits	\$	\$	\$
Supplies	\$	\$	\$
Telephone	\$	\$	\$
Postage	\$	\$	\$
Equipment Rental	\$	\$	\$
Transportation	\$	\$	\$
Other	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTAL:	\$	\$	\$

58.	Describe and/or explain any discrepancies noted by the reviewer.		
59.	Amount of administrative (cost) reimbursement received:	\$	
60.	Identify the other sources of income available to the sponsor to meet financial liabilities incurred in excess of reimbursement if it appears that costs exceed reimbursement over an extended period.		

FISCAL INTEGRITY		YES	NO	N/A	COMMENTS
61.	The sponsor compares actual expenditures to approved budget on an on-going basis.				
62.	The sponsor receives advance administrative funds.				
63.	The sponsor disburses advances to the providers within 5 days of receipt. If "NO," explain.				
64.	The sponsor disburses the full amount of advance to the provider. If "NO," explain.				
65.	The sponsor disburses payments to the providers within 5 days of receipt. If "NO," explain.				

FISCAL INTEGRITY (CONT.)		YES	NO	N/A	COMMENTS
66.	The sponsor correctly calculates blended rates or claiming percentages used to reimburse Tier II mixed homes.				
67.	Procedures are in place to insure recalculations of claiming percentages and blended reimbursement rates are made at least every six months.				
68.	The methodology used to calculate blended rates or claiming percentages for all providers is applied consistently.				
69.	The sponsor disburses the full amount of reimbursement due to the provider. If "NO," explain.				
TRAINING		YES	NO	N/A	COMMENTS
70.	Training specifically related to the CACFP requirements is given to each new provider by the sponsor. If "NO," explain.				
71.	The sponsor has documentation (attendance sheet) to verify that annual training was provided to each provider. If "NO," explain.				
72.	The sponsor has copies of annual training agendas. If "NO," explain.				
73.	The training topics facilitate meeting the goals of the provider practices. If "NO," explain.				
74.	The sponsor has incorporated provider recommendations for future training topics. If "NO," explain.				
75.	The sponsor has conducted and documented the required annual training for its administrative staff. If "NO," explain.				
76.	Describe the actions taken by the sponsor to ensure all providers attend training.				
77.	Sponsor suggestions for training/workshops provided by the State agency.				
MONITORING		YES	NO	N/A	COMMENTS
78.	The sponsor used the review form required/approved by the State agency. If "NO," explain.				
79.	Documents are on file to support sponsor monitoring efforts. If "NO," explain.				
80.	The sponsor has conducted all required reviews during the last 12 months. If "NO," explain.				
81.	The sponsor has implemented the monitoring schedule as described in the management plan for the program year. If "NO," explain.				
82.	The sponsor maintains complete and accurate records of corrective actions taken. If "NO," explain.				

FAMILY DAY CARE HOME SPONSOR REVIEW FORM Page 7

MONITORING (CONT.)		YES	NO	N/A	COMMENTS
83.	The sponsor conducted follow-up reviews when necessary. If "NO" explain.				
84.	Describe how the sponsor ensures that effective corrective action occurs.				
85.	Describe procedures implemented by the sponsor for dealing with providers with ongoing noncompliance.				
CURRENT ISSUES					
86.	Describe innovations, new projects, current concerns or other issues specific to the sponsor.				

CHILD AND ADULT CARE FOOD PROGRAM
FAMILY DAY CARE HOME SPONSOR REVIEW FORM

Agreement Number: _____
Page 8

SUMMARY OF FINDINGS					
<i>Review Item #</i>		<i>Corrective Action (C.A.) Needed</i>	<i>C.A. Due Date</i>	<i>Follow-up Visit Date</i>	<i>Date Corrected</i>

Sponsor Representative Signature: _____ Date: _____

State Agency Reviewer Signature: _____ Date: _____

EDITS

The process used by a family day care home sponsor to determine the amount of reimbursement earned by a family day care home provider involves several edits. Check the box for each item listed below that is implemented by the sponsor.	YES	NO	N/A	COMMENTS
A current provider application is on file with the sponsor.				
A Sponsor/Provider Agreement is on file with the sponsor.				
A current income eligibility form is on file with the sponsor for providers claiming their own children.				
If applicable, the income eligibility form is correctly approved/denied by the sponsor.				
The provider is currently licensed, registered or alternately approved.				
An enrollment record/form is on file to support each child whose meals are claimed for reimbursement.				
The provider only claims meals/snacks for which they have been approved.				
Complete names of children are listed on meal count records.				
The total number of meals/snacks reimbursed are counted correctly by the sponsor.				
If applicable, menus recorded on review forms are the same as on the recorded menu.				
If applicable, meal attendance recorded on review forms are the same as the recorded meal count records.				
Meals/snacks claimed meet the meal/snack pattern requirements.				
Children claimed are within the regulatory age limits.				
Provider's children are only claimed when other enrolled day care children are present and claimed.				
Written verification is on file for meals/snacks claimed on weekends and/or holidays.				
Only the allowable number of meals/snacks are claimed per child per day.				
The provider is at/within capacity.				
The provider is at/within ratio.				
A maximum of 28 days are claimed in February, 30 days for September, April, June and November.				
Attendance patterns are noted; few or no absences.				

INSTRUCTIONS FOR FAMILY DAY CARE HOME SPONSOR REVIEW FORM

Box: Record date(s) of review. Lines are provided to record date, arrival time, and departure time for four days.

Items 1-3: Self-explanatory

Item 4: The review month will be determined by the State agency (SA). The review month should encompass the dates of the home visits.

DOCUMENTS ON FILE

Items 5-19 are documents the reviewer should obtain at the beginning of the sponsor review. The SA should determine whether the reviewer will analyze 100 percent of provider agreements or whether a sample will be pulled. The State agency will determine the sample size and sampling method.

Items 5-6: Application and agreement between sponsoring organization and State agency should be current.

Items 7-9: These items should be available for review, including the Tiering amendments.

Items 10-11: Review of provider applications and agreements is required for each home that is being visited as part of the sponsor review. The reviewer may also review a sample of additional home records, as determined by the State agency.

Items 12-14: Documentation from the past year of operations should be available for review.

Item 15: Memorandum from the past year of operations, including all Tiering policy memos, should be available for review.

Item 16: Sponsors are required to maintain all program records for three years.

Item 17: Documentation which supports the non-profit status of the sponsor should be available for review.

Items 18-19: As necessary, review procurement procedures of sponsor, including sponsor contracts for services, equipment, etc.

CIVIL RIGHTS DATA

The following are USDA requirements for civil rights compliance. The reviewer should follow State agency procedures for handling civil rights violations. For further Guidance, refer to the CACFP Management Improvement Guidance, Sponsor Standards.

Item 20: Either the USDA "... And Justice For All" poster or other poster approved by FNS.

Items 21-27: For additional Guidance on Civil Rights requirements, see FNS Instruction 113-6. For any "NO" responses, record finding on the summary sheet on page 8.

PARTICIPATION DATA AND ELIGIBILITY

This section addresses the eligibility of providers and the eligibility of children to participate in the program. For further Guidance and recommendations on eligibility, refer to the CACFP Management Improvement Guidance, Sponsor Standards and Provider Standards, and the CACFP Eligibility Guidance for Family Day Care Homes. For Guidance related to all tiering policy and procedures, please refer to the series of memoranda containing questions and answers concerning P.L. 104-193 and additional Federal and State Guidance.

Items 28-30: Record the number of homes reported on the Claim for Reimbursement and verify the homes were approved to participate. If the number of homes reported on the Claim for Reimbursement for the review month exceeds the number of homes verified, check "NO" in Item 30 and record findings on the summary sheet.

Items 31-33: Review enrollment records for reviewed homes. Ensure the sponsor is using the State-approved income eligibility form. The income guidelines are revised annually by USDA. Ensure that the sponsor requires the use of the current income eligibility guidelines. The State agency may require a review of a sample of the remainder of enrollment records.

Item 34: Interview the sponsor and determine if the system as described in the management plan is implemented consistently. If "NO", determine the differences and require the sponsor to either follow the approved system or submit a change to the management plan. Record as a finding on page 8.

Item 35: Determine the policy the sponsor follows when a provider requests a re-evaluation of their tiering status or the sponsor makes a redetermination based on current information. These policies must be consistently applied to all providers in these situations. If they are not, require corrective action and record as a finding on page 8.

Item 36: Determine what documentation to support the sponsor determination of each Tier 1 home is maintained. If no documentation or inadequate documentation is maintained, require corrective action and record as a finding on page 8.

Item 37: Determine that verification documentation is maintained for each provider classified as a Tier I home based on income. If no documentation or inadequate documentation is maintained, require corrective action and record as a finding on page 8.

Item 38: Evaluate the verification documentation and determine that the sponsor correctly verified the income. If not, require corrective action and record as a finding on page 8.

Item 39: Review the Tier I determinations made from school and census data and determine that the sponsor made the appropriate decision to use school or census data in each situation. For further Guidance, refer to the memorandum issued in March of 1997 from the National and Regional office. If inappropriate use of the data is noted, require corrective action and record as a finding on page 8.

Item 40: Determine that the sponsor has a system in place to track the required timeframes for each of the three methods of determining Tier I homes. If a system is not maintained, require corrective action and record as a finding on page 8.

Item 41: Determine that the sponsor informed the provider of the options available to identifying income eligible children in their care. If the sponsor did not, require corrective action and record as a finding on page 8.

Item 42: Determine, at the provider's request, that the sponsor made income eligibility forms available to households of the children in their care.

Item 43: Determine that the sponsor has a procedure in place which ensures the income eligibility forms are sent directly to the sponsor. If there is no procedure or an inadequate procedure, require corrective action and record as a finding on page 8.

Item 44: Interview the sponsor and determine that confidentiality of the income eligibility forms information is maintained. If it is determined that the information is not held confidential, require corrective action and record as a finding on page 8.

Item 45: Ensure that all income eligibility forms from children in tier II homes are correctly determined. If not, require corrective action and record as a finding on page 8 and as meal adjustments on page 9.

PROVIDER'S OWN

This section contains review questions which help determine whether the provider's own children are correctly approved and claimed. The reviewer will analyze either 100 percent of documents, or a sample of records, as determined by the State agency. For further Guidance, refer to the CACFP Management Improvement Guidance, Sponsor Standards and Provider Standards, and the CACFP Eligibility Guidance for Family Day Care Homes.

Item 46: A current application must be on file for each provider's child in order for those meals to be claimed.

Item 47: Ensure that all applications were determined correctly. If the household meets the criteria for "reduced price" meals, the child's meals can be claimed.

Item 48: Provider's own children can only be claimed for a meal if at least one other enrolled child is present and claimed during a meal service.

CLAIM FOR REIMBURSEMENT VERIFICATION

This section involves verifying the eligibility of all meals claimed during the review month. The reviewer will analyze either 100 percent of documents, or a sample of records, as determined by the State agency.

Item 49: Review daily menus submitted by providers during the review month. All menus should meet the meal pattern requirements. This includes infant menus.

Item 50: Based on reviewer's verification of menus for the providers reviewed, answer "NO" if there is any discrepancy between the sponsor verified and reviewer verified menus. List discrepancies. (For example, the sponsor disallowed four meals, but the reviewer disallowed ten meals. Discrepancy is six meals.)

Item 51: Answer this question based on information gathered during home visits. If "NO", explain the problems observed and the areas which need to be addressed in future training.

MEAL COUNTS

This section reviews whether the sponsor is ensuring that meal counts are accurate and correctly consolidated and reported. For further Guidance and recommendations on meal counts, refer to the CACFP Management Improvement Guidance, Sponsor Standards and Provider Standards.

Item 52: This information is captured in Item 6, "Attendance and Eligibility Data" of the Day Care Home Review Month Form. Consolidate the information gathered from all home reviews, and list any findings here. The State Agency may also dictate that a sample of other home records be reviewed.

Item 53: The sponsor must review the meal counts for accuracy. Examples of effective edits are listed on page 10.

Item 54: The reviewer will verify either 100 percent of meal counts or a sample, as directed by the State agency. The reviewer will verify counts for each meal claimed during the review month, to ensure that the sponsor is correctly adding daily meal counts by meal type and reimbursement rates. If using a sample, and significant problems are found in the sample, the State agency should expand this review to encompass all providers.

Item 55: Add totals for all providers' claims and compare to the sponsor's claim for reimbursement to verify the accuracy of the Claim for Reimbursement. Use the table to list discrepancies between sponsor reported and reviewer verified meal counts.

Item 56: Record the sponsor's total meal count adjustments and verify by totaling the reviewer meal count adjustments listed on page 9.

ADMINISTRATIVE COSTS

This section covers the sponsor's use and tracking of administrative costs.

Items 57-58: Verify whether administrative costs have been accurately reported on the claim for reimbursement. Ensure that all costs are allowable. List discrepancies.

Item 59: Record amount of administrative reimbursement received to date.

Item 60: If applicable, determine other sources of income available to the sponsor. The reviewer should use information provided by the State agency claims processing system.

FISCAL INTEGRITY

This section covers the disbursement of funds to providers.

Items 61-65: Self-explanatory.

Items 66-67: Verify the blended rates or claiming percentages for tier II mixed homes are correctly calculated and ensure that the recalculation of the rates and percentages occur every six months. If they are incorrect or not recalculated every six months, require immediate corrective action and record as a finding on page 8 and as meal adjustments on page 9.

Item 68: Verify that the methodology used by the sponsor to calculate the rates or percentages are applied consistently to each tier II mixed home.

Item 69: Determine that the sponsor disburses the full amount of reimbursement due to each provider. If not, require corrective action and record as a finding on page 8.

TRAINING

This section contains review questions concerning the training the sponsor has conducted for providers. For further Guidance and recommendations on training, refer to the CACFP Management Improvement Guidance, Sponsor Standards and Provider Standards.

Items 70-76: Review training documentation and determine the effectiveness of the sponsor training. Determine that the sponsor has met the training requirements as contained in USDA regulations.

Item 77: Record sponsor suggestions for future CACFP training workshops.

MONITORING

This section covers the sponsor's monitoring of provider operations.

Item 78: The sponsor should be using a State agency approved review form, or have prior approval from the State agency to modify the form.

Item 79: All monitoring reviews should be documented with a completed review form.

Item 80: Each provider should be reviewed three times per year. Each provider should be reviewed once during their first four weeks of operation, and not more than six months should elapse between reviews.

Item 81: The sponsor should be following the schedule described in the management plan.

Item 82: Review reports should contain problems noted, and corrective action to be taken by the provider. The sponsor should require and document corrective actions necessary to prevent the problem from recurring.

Item 83: The sponsor should have a procedure to conduct follow-up visits if serious problems are noted, to ensure that the provider has corrected the problem(s).

Item 84: Effective corrective action means that problems found on review are addressed and corrected. If a sponsor finds the provider repeatedly having the same problem(s), over the course of several reviews, then corrective action has not been effective.

Item 85: The sponsor should have a procedure in place to deal with recurring problems. Continued findings should trigger further actions, such as: follow-up visits, unannounced visits, parental contacts, suspension, and termination. The sponsor should also have procedures to deal with certain conditions, such as what to do when there is no one home, there are no children in care, no meal is served, etc.

CURRENT ISSUES

Item 86: Interview the sponsor and give a narrative of any specific concern, project, and/or innovation that the reviewer or sponsor feels is relevant to program operations.

SUMMARY OF FINDINGS

This section encompasses a summary of all findings. The reviewer should ensure that the summary corresponds to all findings noted in the body of the report. Findings should be discussed with the sponsor at the exit conference.

SUMMARY OF ADJUSTMENTS

This section is used to record all meal count adjustments noted during the review.

EDITS

The process the sponsor uses to verify the correct amount of reimbursement funds earned by each provider should involve editing meal count information to ensure accuracy. This list contains recommendations of effective edits.

**CHILD AND ADULT CARE FOOD PROGRAM
DAY CARE HOME REVIEW FORM**

SAMPLE

Date of Review: _____ 1 2 3 UN 4WK Arrival Time: _____ Departure Time: _____					
Tier I <input type="checkbox"/>		Tier II <input type="checkbox"/>		Tier II with Income Eligibility Applications <input type="checkbox"/>	

1. Name of Sponsor:	Agreement Number:
2. Name of Provider: Telephone Number:	Address:
3. Reviewer(s):	

4. A copy of the current sponsor/provider agreement is on file at the provider's home.
☐ YES ☐ NO
5. License Information
 Expiration Date: _____ Capacity: _____ Other: _____
6. Complete the following chart.

Hours of Organized Care:	Sun. Mon. Tues. Wed. Thurs. Fri. Sat.	Holiday Care: <input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Breakfast/	<input type="checkbox"/> AM Snack/	<input type="checkbox"/> Lunch/
		<input type="checkbox"/> PM Snack/
		<input type="checkbox"/> Supper/
Meal Observed:		Meal Service Time Observed:

ATTENDANCE AND ELIGIBILITY DATA					
Full Name of All Children in Attendance	Age	Enrollment Form	Provider's Own Child	Meal Participant	Meal Claimed
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					

10.					SAMPLE
11.					
12.					
Totals					

DAY CARE HOME REVIEW FORM

Page 2

ATTENDANCE AND ELIGIBILITY DATA		YES	NO	N/A	COMMENTS
7.	The observed meal was served at the approved, scheduled time. If "NO", the provider notified the sponsor of the change.				
8.	The provider is at/within licensed capacity, and provider/child ratio.				
9.	The children in attendance and participating in the meal service have complete and current enrollment forms. If "NO", explain.				
10.	The meals claimed are served to children who are within regulatory age limits. If "NO", explain.				
11.	Meals served to the provider's own children are claimed only if the child is enrolled, eligible and other enrolled children are participating in the meal service. If "NO", explain.				
12.	The provider charges separately for meals. If "YES", explain.				
CIVIL RIGHTS		YES	NO	N/A	COMMENTS
13.	The provider allows all children equal access to its child care services and facilities regardless of race, color, sex, age, disability or national origin. If "NO", explain.				
14.	The provider serves meals to all enrolled children equally regardless of the child's race, color, sex, age, disability or national origin. If "NO", explain.				
15.	The nondiscrimination Statement and complaint procedures are included in provider advertisements when referencing admissions and/or the CACFP.				
HEALTH/SAFETY/SANITATION		YES	NO	N/A	COMMENTS
16.	The refrigeration units are clean and maintained at required temperatures.				
17.	Food is properly stored in the refrigeration units and in dry areas.				
18.	Cleaning supplies and other toxic materials are safely stored out of the reach of children and away from food.				
19.	There is no evidence of rodent or insect infestation.				
20.	There are no obvious fire, health and/or safety hazards observed.				
21.	Food service was conducted in compliance with generally accepted health and sanitation practices.				
22.	The provider and children wash hands prior to food handling and eating.				
SPONSOR TRAINING/MONITORING		YES	NO	N/A	COMMENTS
23.	List the date of the last sponsor conducted training session the provider attended: _____				
24.	The provider felt the sponsor training was helpful, and has implemented information provided. If "NO", explain.				
25.	The sponsor is responsive to the provider's questions and concerns. If "NO", explain				
26.	Provider recommendations for future training topics/needs or training improvement ideas are:				
27.	List problem(s) identified during the last review and determine if effective corrective action has been implemented. If "NO", explain.				

Name: _____

DAY CARE HOME REVIEW FORM

Page 3

TIERING METHOD OF REIMBURSEMENT		YES	NO	N/A	COMMENTS
28.	The provider was notified of their reimbursement options: Tier I or Tier II. If it is a Tier II home, the provider requested the sponsor to collect income eligibility forms.				

DAY OF REVIEW - OBSERVATION OF MEAL SERVICE

29. Record the food items.

1-12 Year Olds		Infants			
Meal Components	Food Item	Meal Components	Food Item		
			Birth - 3 Months	4 - 7 Months	8 - 11 Months
Milk		Iron Fortified Formula/ Breast Milk/Whole Milk			
Meat/Meat Alternate		Meat/Meat Alternate			
Fruit or Vegetable		Fruit or Vegetable			
Fruit or Vegetable		Infant Cereal			
Bread/Bread Alternate		Other			
Other					

DAY OF REVIEW - OBSERVATION OF MEAL SERVICE		YES	NO	N/A	COMMENTS
30.	The menu documentation corresponds to the meal observed. If "NO", explain.				
31.	The meal observed contains all required components. If "NO", list the number of meals missing components and describe technical assistance provided.				
32.	It appears that the required quantities of food items are prepared, available and served. If "NO", list the components prepared and served in insufficient quantities and describe technical assistance provided.				
33.	The observed meal provides a variety of colors, temperatures, textures, shapes, sizes and flavor. If "NO", explain.				
34.	The meal service occurs in a positive/pleasant environment. If "NO", explain.				
35.	Medical Statements are on file for all substitutions related to medical needs. If "NO", explain.				
36.	At least one required/recommended component of the infant meal pattern is supplied by the provider for claimed infant meals.				
37.	Separate, daily, dated menus for children and infants are available and up-to-date at the provider's home, for all approved/claimed meals for the				

current month. If “NO”, explain.			SAMPLE
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DAY CARE HOME REVIEW FORM

Page 4

DAY OF REVIEW - MEAL COUNTS		YES	NO	N/A	COMMENTS														
38.	An accurate meal count was taken during or immediately after meal service. If "NO", explain and describe the technical assistance provided.																		
39.	List the meal counts for the same meal type observed on the day of the visit for each of the 5 preceding serving days. Day of Review Meal Count: _____ <table border="1" data-bbox="363 459 732 783"> <thead> <tr> <th>Date</th> <th># of Meals Counted</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Date	# of Meals Counted																
Date	# of Meals Counted																		
		YES	NO	N/A	COMMENTS														
40.	Does the meal count for the prior five days appear reasonable when compared to today's meal count? If "NO", obtain and record an explanation and the required corrective action.																		

SUMMARY OF FINDINGS					
Review Item #	Brief Description of Finding	Corrective Action (C.A.) Needed	C.A. Due Date	Follow-up Visit Date	Date Corrected

Provider Signature: _____

Date: _____

Reviewer Signature: _____

Date: _____

SAMPLE

INSTRUCTIONS FOR CACFP DAY CARE HOME REVIEW FORM

Box: Record date of review. Circle whether this is a first, second, or third review in the annual cycle. Circle UN if this is an unannounced visit. Circle 4WK if this is the first visit for a new provider, during the first four weeks of their program operation. Indicate that the home has been determined by the sponsor as a Tier 1, Tier 2 or a Tier 2 with Income Eligibility Applications.

Items 1-3: Self-explanatory.

Item 4: A copy of the current sponsor/provider agreement should be on file in the provider's home. If not, make arrangements to provide a copy of the current year's agreement to the provider.

Item 5: If home is licensed, record the expiration date and capacity. If the home is approved under alternate approval, indicate "Other" and record relevant information.

Attendance and Eligibility Data

Item 6: Indicate the meal observed and record the scheduled meal time and the actual meal time. List the names of all children in attendance and under the care of the provider. Indicate the age of each child and whether each child has a current enrollment form on file and is the provider's own child. The remaining portion of the chart should be completed when the meal service is observed by the reviewer. Indicate whether the child actually participates in the meal service and whether the provider is claiming that child's meal for reimbursement.

The following questions are answered using the information collected in the chart in item 6.

Item 7: Indicate whether the provider served the meal at the approved time. If "NO" indicate if the sponsor was informed of the change.

Item 8: Indicate whether the provider meets the licensing capacity and provider/child ratio requirements.

Item 9: Determine that each child has a complete and current enrollment form. For information on enrollment forms, refer to Federal and State agency Guidance.

Item 10: Determine that the meals claimed are served to eligible children, as defined by regulations. Children ages 12 and under, children of migrant workers ages 15 or under and disabled children of any age (if the majority of enrollees are ages 18 or under) are eligible to participate in the CACFP.

SAMPLE

Item 11: Meals served to a provider's own child may be claimed only if: 1) the child is enrolled, 2) determined to be eligible by the sponsoring organization based on free/reduced-price household application submitted by the provider; and 3) at least one child who is not the provider's own is participating in the meal service.

Item 12: The provider can not assess a separate charge for a meal. If “No”, note the corrective actions required on the Summary of Findings.

SAMPLE

Civil Rights

Items 13-15: Determine if the home is in compliance with current Civil Rights regulations and policies. For further Civil Rights Guidance, see FNS Instruction 113-4 and State civil rights Guidance.

Health/Safety/Sanitation

Items 16-22: Determine if reasonable health, safety, and sanitary conditions exist in the home. Any findings should be noted and technical assistance provided. Any serious health and/or sanitary and/or safety problems should be discussed with the provider and immediately brought to the attention of the sponsoring organization and the appropriate local and/or State agency. For Guidance, refer to the CACFP Management Improvement Guide, Provider Standards.

Sponsor Training/Monitoring

The following series of questions related to training are designed to obtain information on the effectiveness of sponsor training and to provide the sponsor with provider feedback to effect improvements to their training program.

Item 23: Self-explanatory. Refer to the CACFP Management Improvement Guide, Provider Standards for a recommended number of training hours for providers.

Item 24: Interview the provider to determine if training ideas and information are helpful and are in use. If "NO," determine if additional training is necessary or training methods need to be revised.

Item 25: Interview the provider to determine if the sponsor provides relevant information and Guidance as requested.

Item 26: Self-explanatory.

Item 27: Refer to the last review conducted and list any problems identified and the corrective actions noted. "Effective corrective action" is achieved when the provider does not demonstrate similar problems on the current review. If similar problems appear on the current review, indicate "NO" and explain the problems. Note the corrective actions required on the Summary of Findings.

Tiering Method of Reimbursement

Item 28: Determine that the provider was fully informed of the two-tiered reimbursement rate structure and the criteria used to classify the home as either a Tier I or Tier II. If the home is classified as a Tier II, verify the provider had the option to request that the sponsor identify income-eligible children in the home. For further Guidance, please refer to Federal and State agency Guidance.

SAMPLE

Day of Review-Observation of Meal Service

Item 29: Observe and record food items prepared and served to meet the required meal pattern requirements for the appropriate age groups.

Item 30: Compare food items served on day of review to the written menu prepared by provider. Daily menu records are the single source of information that documents the eligibility of meals for CACFP reimbursement. It is essential that the menu record accurately reflects what foods items were served to meet meal pattern requirements. Menu substitutions should be appropriate and recorded on the menu.

Item 31: Observe and determine that the meal contains all the required components. If “NO”, record the number of meals with missing components which will be disallowed and describe the technical assistance provided. For further Guidance on meal pattern requirements, refer to CFR Part 226.20; FNS Instruction 783-9, Rev.2; CACFP Management Improvement Guidance, Provider Standards; and other appropriate Federal and State agency Guidance.

Item 32: Observe and determine the required components were prepared and served in sufficient qualities to the appropriate age groups. The meal service may be pre-plated or served family-style. For further Guidance on family-style meal service in the CACFP, see FNS Instruction 783-9, Rev. 2.

Item 33: Meals served to children should incorporate a combination of colors, temperatures, textures, shapes, and sizes. If "NO", provide technical assistance to the provider to encourage variety and eye-appeal of meals. For further Guidance and training resources, see CACFP Management Improvement Guidance, Provider Standards.

Day of Review-Observation of Meal Service

Item 34: A positive and pleasant meal environment promotes good eating habits for children. If "NO", provide technical assistance to encourage the provider to create a more pleasant meal environment. For further Guidance, see USDA-FNS-CND handbook "Nutrition Guidance for Child Care Homes" and CACFP Management Improvement Guidance, Provider Standards.

Item 35: Determine if the required medical Statements are on file for all substitutions related to medical special dietary needs. If "NO" record the explanation and the corrective action.

Item 36: Determine that at least one component is supplied by the provider. For further Guidance on infant meal pattern requirements, see the USDA-FCS-CND handbook, "Nutrition Guidance for Child Care Homes"; FNS-258, "Feeding Infants: A Guide for Use in the Child Care Food Program; and "CACFP Management Improvement Guidance - Provider Standards.

SAMPLE

Item 37: Compare food items served on the day of review to the written menu prepared for children and infants by provider. Daily menu records for children and infants are the single source of information that documents the eligibility of meals for CACFP reimbursement. It is essential the menu record accurately reflects what foods items were served to meet meal pattern requirements. Menu substitutions should be appropriate and recorded on the menu.

SAMPLE

Day of Review-Meal Counts

Item 38: Observe to determine whether an accurate count is taken at the point of service. An accurate system is one based on an actual count of children served and must consistently yield correct results. If "NO", determine and record the cause for the inaccurate count and describe the technical assistance provided.

Item 39: Obtain a copy of the meal count by type for each of the five previous serving days and record the counts in the charts provided. Compare each day's count to the count on the day of review.

Item 40: Evaluate and determine if unreasonable shifts occurred in the counts from the counts from the previous days to the day of review count. If "NO" obtain and record an explanation. Indicate if the explanation is acceptable.

Summary of Findings

This section encompasses a summary of all findings. The reviewer should insure that the summary corresponds to all findings noted in the body of the report. Findings should be discussed with the provider at the exit conference, and the reviewer and the provider should sign.

CHILD AND ADULT CARE FOOD PROGRAM
DAY CARE HOME **REVIEW MONTH FORM**

Provider Name: _____
Page 1

REVIEW MONTH - MENUS						
	Breakfast	AM Snack	Lunch	PM Snack	Supper	
1. Number of meals submitted by the provider.						
2. Number of meals claimed by the sponsor.						
3. Number of nonreimbursable meals noted by the reviewer.						
			YES	NO	N/A	COMMENTS
4. Based on menu records, all meals claimed for						

SAMPLE

reimbursement during the review month contained the required meal components. If “NO”, complete the following chart. Describe technical assistance to be given to provider. Record required corrective action on <i>Summary of Findings</i> .							
DATE	MEAL TYPE	MISSING COMPONENT	# CLAIM ED	COMMENTS			
TOTAL							
				YES	NO	N/A	COMMENTS
5. The sponsor identified all nonreimbursable meals.							
6. The provider demonstrated knowledge of the principles of nutrition, menu planning and food preparation by serving meals described below. If “NO”, describe technical assistance to be given to provider.							
A variety of foods							
Variety of fruits and vegetables							

SAMPLE

Foods high in Vitamin A, 3 times per week				
Foods high in Vitamin C daily				
Foods high in iron daily				
Menus with a variety of color, texture and temperature				
Moderate amounts of sodium (salt)/sugar				
Moderate amounts of fat/saturated fat				

CHILD AND ADULT CARE FOOD PROGRAM
DAY CARE HOME **REVIEW MONTH** FORM

Provider Name: **SAMPLE**
Page 2

ELIGIBILITY	YES	N O	N/ A	COMMENTS
7. The meal counts for each day of the review month are within the home's licensed capacity. If "NO", explain.				
8. The meals claimed during the review month are served to children with a complete and current enrollment form. If "NO", explain.				
9. The meals claimed during the review month are served to children who are within the regulatory age limits. If "NO", explain.				
10. The provider's own child is claimed during the review month only when the child is enrolled, eligible and other enrolled children participate in the meal service. If "NO", explain.				
REVIEW MONTH - MEAL COUNTS	YES	N O	N/ A	COMMENTS
11. Provider claims are submitted to the sponsor on a timely basis. If "NO", explain.				
12. Complete and accurate meal count records are available for each approved meal type for each serving day of the review month. If "NO", explain.				
13. Meal counts for the review month appear reasonable when compared with the day of review meal count. If "NO", explain.				

SAMPLE

14.	No more than 2 meals and 1 snack or 1 meal and 2 snacks per day are claimed for each eligible child during the review month. If “NO”, explain.				
SPONSOR TRAINING AND MONITORING		DATES			
15.	List the dates of each training session the provider attended.				
16.	List the dates of each review conducted by the sponsor during the past twelve months.				
		YES	N O	N/ A	COMMENTS
17.	The provider’s attendance at the most recent sponsor training session is verified by sponsor records.				
18.	The required number of reviews were conducted in a timely manner.				

CHILD AND ADULT CARE FOOD PROGRAM DAY CARE HOME REVIEW MONTH FORM

Provider Name: _____

Page 3

SAMPLE

[illegible]

			SAMPLE

Reviewer Signature: _____ *Date:* _____

Instructions for CACFP Day Care Home Review Month Form

Review Month-Menus

Item 1: Record the number of meals, by meal type, submitted by the provider to the sponsor for the review month.

This page intentionally left blank.

Item 2: Record the number of meals claimed by this provider for the review month.

Items 3-4: Review the provider menu to determine that the all meals claimed by the sponsor during the review month contained all the required components. If “NO”, record the total number of reimbursable meals in the review month in Item 3. Record the specific information on meals with missing components in Item 4 and describe the technical assistance provided in the summary of findings. For further guidance on meal pattern requirements, refer to CFR Part 226.20; FNS Instruction 783-9, Rev. 2; and CACFP Management Improvement Guidance, Provider Standards.

Item 5: Determine that the sponsor identified all nonreimbursable meals submitted by the provider on the menu records and disallowed these meals prior to the submission of a claim.

Item 6: The provider should have a working knowledge of the principles of nutrition, menu planning and food preparation. Meals served to children should also incorporate a combination of colors, temperatures, textures, shapes, and sizes. If “NO”, provide technical assistance to the provider to encourage variety and eye-appeal of meals. For further guidance, see the USDA-FCS-CND handbook, “Nutrition Guidance for Child Care Homes” and CACFP Management Improvement Guidance - Provider Standards.

Eligibility

Item 7: Indicate whether the provider was within the licensing capacity, age limits, and the provider/child ratio requirements for each day of the review month.

Item 8: Determine that each child claimed during the review month has a complete and current enrollment form. For information on enrollment forms, refer to Federal and State agency guidance.

Item 9: Determine that the meals claimed during the review month are served to eligible children, as defined by regulations. Children ages 12 and under, children of migrant workers ages 15 or under and disabled children of any age (if the majority of enrollees are ages 18 or under) are eligible to participate in the CACFP.

SAMPLE

Item 10: Meals served to a provider's own children during the review month may be claimed only if: 1) the child is enrolled and 2) determined to be eligible by the sponsoring organization based on free/reduced-price household application submitted by the provider, and 3) at least one child who is not the provider's own is participating in the meal service.

Review Month-Meal Counts

Item 11: Determine that the provider is submitting meal count records to the sponsor according to the sponsor timeframes and instructions.

Item 12: Determine that complete and accurate count records are available for each serving day of the review month. An accurate system is one based on an actual count of children served and must consistently yield correct results. If "NO", determine and record the cause for the inaccurate count and describe the technical assistance provided.

Item 13: Obtain a copy of the meals counts by type for each serving day in the review month. Compare each day to the day of review count. Evaluate the counts to determine if unreasonable shifts occurred in the counts for the review month to the day of review count. If "NO", obtain and record an explanation and indicate if the explanation is acceptable. Record any meals adjustments in the space provided.

Item 14: Determine that the provider has claimed the approved meal types and no more than 2 meals and 1 snack or 1 meal and w/snacks for each eligible child for each serving day. Record explanation and any meals adjustments in the space provided.

Sponsor Training and Monitoring

Item 15: Sponsors are required to conduct training annually. Record the dates and topics covered at each training session attended by the provider.

Item 16: List the dates during the last year in which the sponsor conducted reviews of this provider.

Item 17: Review the sponsor records and verify the last training session attended by this provider.

Item 18: Determine if the sponsor conducted the required number of reviews in a timely manner. For further guidance refer to the CACFP Management Improvement Guidance, Provider Standards.

Summary of Findings

This section encompasses a summary of all findings and correction action required from the review month. The reviewer should insure that the summary corresponds to all findings noted in the body of the report. Findings should be discussed with the provider at the exit conference, and the reviewer and the provider should sign.

SAMPLE